

## DOCUMENT RESUME

ED 399 865

HE 029 500

TITLE The Admissions Profession: A Guide for Staff Development and Program Management.

INSTITUTION American Association of Collegiate Registrars and Admissions Officers, Washington, D.C.; National Association of College Admissions Counselors, Alexandria, VA.

REPORT NO ISBN-0-929851-08-0

PUB DATE 91

NOTE 127p.; This document was previously titled: "The Professional Development Guidelines for Admissions Officers: A Self-Audit." Reprinted 1995.

AVAILABLE FROM PIER publications, P.O. Box 231, Annapolis Junction, MD 20701 (\$20 members; \$30 nonmembers).

PUB TYPE Guides - Non-Classroom Use (055) -- Guides - Classroom Use - Teaching Guides (For Teacher) (052)

EDRS PRICE MF01/PC06 Plus Postage.

DESCRIPTORS Accreditation (Institutions); \*Administrator Education; Administrator Guides; \*Admissions Officers; College Administration; \*College Admission; Higher Education; Institutional Research; Instructional Materials; Job Analysis; Occupational Information; Personnel Selection; \*Professional Development; Program Administration; Self Evaluation (Groups); \*Staff Development; Standards; Student Recruitment

## ABSTRACT

This guide is designed to assist in college admissions staff development and program management, but is also suggested for use in training and accrediting efforts, presentations on admissions tasks, internal or external evaluations, preparation of periodic reports, and as a self-paced workbook when preparing for the admission profession, or for employment interviews. Chapters address: college admissions mission, goals, and objectives; principles of enrollment management, projection, planning, marketing, and retention; program organization and administration, including budgets; human resource management (staffing, defining responsibilities, preparation and competencies, training methodology, evaluation, professional development and leadership); physical resources (guest facilities, staff facilities, equipment and supplies, resource library); developing an effective student contact program (school/college/community relations, campus visits, use of personnel other than admissions staff for recruitment, use of volunteer groups for recruitment, mail and telemarketing communication and publications, inquiries and followup); admission policy, procedures, requirements, prediction of college success, candidate evaluation, and review of applications from special populations); records and information management; and related student services (financial aid, orientation, registration/records, student accounts, advising, testing/assessment). A glossary is included, and statements of competencies and principles of good practice are appended. (Contains 196 references.) (MSE)

ED 399 865



# THE ADMISSIONS PROFESSION

A GUIDE FOR STAFF  
DEVELOPMENT AND  
PROGRAM MANAGEMENT

AE 029 508

A Cooperative Project of the  
AMERICAN ASSOCIATION  
of COLLEGIATE REGISTRARS  
and ADMISSIONS OFFICERS (AACRAO)  
NATIONAL ASSOCIATION  
of COLLEGE ADMISSION  
COUNSELORS (NACAC)

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**THE ADMISSIONS PROFESSION: A GUIDE FOR STAFF DEVELOPMENT AND  
PROGRAM MANAGEMENT**

**ISBN 0-929851-08-0**

*Previous title:* **THE PROFESSIONAL DEVELOPMENT GUIDELINES FOR ADMISSIONS  
OFFICERS: A SELF-AUDIT**

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Registrars and Admissions Officers  
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**Reprinted 1995**

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# INTRODUCTION

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Three earlier editions of **THE PROFESSIONAL DEVELOPMENT GUIDELINES FOR ADMISSIONS OFFICERS: A SELF-AUDIT** have been jointly prepared by selected authors from the American Association of Collegiate Registrars and Admission Officers (AACRAO) and from the National Association of College Admissions Counselors (NACAC). Even though these workbooks or manuals include the functions and tasks performed by college admissions officers in the United States, the secondary and higher education communities realize that few words have been written about the history of the college admissions profession. The ways in which we do our annual work mysteriously become the history of our institutions and, hence, the history of our profession as well.

During the 1950s and the 1960s, the admissions clientele (college-bound seniors) sought counseling and guidance from admissions officers. From the middle 1960s to the latter part of the 1970s, young people appeared to thwart authority. Anti-establishment behavior produced even college-going patterns that were unpredictable and frightening. The 1980s found gloom and doom painted in the college picture due to the slowing down of the baby boom 20 years earlier and to the preceding rebellious decade and a half. In approaching a new century, educational reform is on the minds of administrators, counselors, and college-planning families. The teenage complexion of every decade seemingly sets a pace and at least a part of the direction for college admissions officers as they plan and perform the tasks included in this fourth edition manual.

**THE ADMISSIONS PROFESSION** can serve as a guide to staff development and program management in the admissions profession. Additionally, the guide can

- serve as a training and accrediting tool for admissions officers and admissions offices.
- serve as an outline for presentations on the different tasks performed by admissions offices.
- be used as a standard against which the admissions office is evaluated or rated in institutional studies or self studies.
- be used as an index when compiling annual or periodic reports to internal or external administrators.

- be used as a self-paced workbook to prepare for the admissions profession.
- be used to conduct candidate interviews for professional employment.

In using the admissions guide, a number of goals and objectives can be accomplished. Department heads can select Principles in the *Guide* as agenda items for discussion or to test employee readiness. The *Guide* can also serve as a text for workshops and seminars to prepare beginning admissions officers or to train student personnel professionals who are changing to the admissions field. Senior-level or longtime admissions officers can also use Principles as a checklist to review their priorities or needed modifications. Graduate students serving internships can be assigned the Questions and the Projects to enhance their learning of Basic Principles.

The authors of this 1991 edition commend the guide to all admissions officers as a necessary tool for efficiently performing their numerous tasks. All directors are encouraged to present each new professional employee with a copy of this *Guide* and simultaneously offer guidance in the use of this tool.

Comments and suggestions for subsequent editions should be mailed directly to AACRAO's Director of Communications or to NACAC's Director of Communications and Managing Editor. The 1991 authors send greetings to all who read the *Guide* and thanks to those who take the time to interface this tool in their working environments. We know that your professional contribution will be enhanced with the use of THE ADMISSIONS PROFESSION.

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# 7 MISSION, GOALS AND OBJECTIVES

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## Mission

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**BASIC PRINCIPLE:** The admissions function at any college or university is essentially derived from the mission, goals and objectives of the institution. Kotler and Fox (1985) identify the distinction among these terms as follows:

**Mission:** the basic purpose of an institution; that which it is trying to accomplish.

**Goal:** a major variable that the institution will emphasize, such as profitability, enrollment, reputation, market share.

**Objective:** a goal of the institution which is made specific with respect to magnitude, time and person(s) or position(s) responsible.

The mission of the college or university most often evolves and is shaped and influenced primarily by founding premises, historical traditions, leadership and other political authorities. A college or university's mission includes a focus on the curriculum, the role of the faculty, the student population and educational outcomes.

A mission often will describe the college's relation to its environment, economically, socially, and educationally. Human resources, physical facilities and other capital resources are critical factors in defining mission. A clearly defined mission provides members of the organization with a framework upon which to develop organizational program planning and through which an organizational values system is established.

Mission statements will vary. Some are quite complex and intricate; others are quite simple and straightforward. Some are written, others are not. To be most effective, the mission of a college or university should be regularly reviewed, not necessarily for the purpose of changing it, but rather for refining and updating the statement to address environmental influences. The mission should be fairly stable; only strategic change should require the redefinition of a mission statement.

### **QUESTIONS:**

1. What is your campus mission?
2. How did you learn about it?
3. How is your campus mission statement articulated and publicized?

### **PROJECTS:**

1. Learn about your college or university's mission statement. Where is it recorded? Is it well publicized? When was it first developed and has it periodically been reviewed? Who is responsible for the review of the mission statement and how is a review initiated?
2. Investigate the mission statement of a college or university that you think is similar to yours. Are the mission statements significantly distinct? Investigate the mission statement of a college or university that you think is different from your college. How do the mission statements compare?

3. Describe the relationship between your mission statement and the goals and objectives of the admissions function.

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 **Goals**

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**BASIC PRINCIPLE:** The goals of a college or university can be defined quite globally or very specifically by department, division or school. The major goals of a college or university or of a specific unit help to guide the institution in carrying out its mission.

For example, a college or university with a mission to provide educational opportunity to citizens may define goals that include access for the handicapped and underprepared students and an emphasis on remediation. The goals could have also been defined to serve returning adult students and students in career transition, bilingual students or the homebound. The goals specify the decisions that have been made, among numerous alternatives, about how to carry out the mission of the college or university. The major goals bring the mission into focus and define it more specifically.

**QUESTIONS:**

1. Are the college's goals clearly defined?
2. Are the college's goals linked to the defined mission?
3. How are the goals established?
4. How are the goals published?

**PROJECTS:**

1. Name three specific goals of your college or university.
2. Interview two or more senior administrators and two or more senior faculty members asking them to identify some of the college's goals. How do the answers compare? Why do you think different goals might be identified?
3. Define the specific goals of the college that affect the admissions function.

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 Objectives

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**BASIC PRINCIPLE:** The objectives of a college or university define the exact steps or projects that will be undertaken to meet goals.

To address the goal of serving underprepared students, the objectives might include developing a learning skills center, hiring additional counselors, or establishing a peer tutoring program. Objectives must be stated in terms that are measurable, e.g., defining the number of students who will receive counseling and the number of counselors to be hired. Through effective leadership and management and controls, objectives across the college or university should work together to meet goals, and ultimately to address the organizational mission.

**QUESTIONS:**

1. How are objectives established?
2. Are objectives clearly defined?

3. Are they measurable?
  
4. Do the objectives work toward meeting goals?
  
5. Is it evident that the activities (objectives) of various campus offices are influenced by campus goals?

**PROJECTS:**

1. Name three objectives of your college or university. What institutional goals are these objectives meeting? How are these objectives linked to mission?
  
2. Suggest a new goal for your college or university. Define three objectives that would address that goal. What resources did you consider in naming the objectives? How would you measure the success of the objective?

# 2 ENROLLMENT MANAGING, PROJECTING, AND PLANNING

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## Enrollment Management

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**BASIC PRINCIPLE:** Enrollment Management is the systematic and holistic process of keeping on target the desired institutional enrollment by utilizing coordinated programs from the initial contact to graduation. Enrollment management assumes strategic planning and/or requires direct responsibility over student marketing and recruitment as well as pricing and financial aid and significant influence over academic assistance programs, orientation, institutional research and student services. Enrollment management models include the matrix, the division, the enrollment coordinator, and the committee. (See authors Baldrige, Green, Kemerer and Kotler in Suggested Readings to gather information about enrollments, management style and models.)

### QUESTIONS:

1. How is enrollment managed at your college?

**PROJECTS:**

1. Read enrollment management models offered by Hossler and Kotler. Determine which model best fits your college and why?
2. Name the principal positions at your college which play major roles in this planning aspect. Interview at least one officer to learn more about enrollment management. (After your appointment, read additional references to help you clarify the model used at your college.)

**BASIC PRINCIPLE:** A major responsibility of the admissions office in enrollment management is achieving the desired enrollment mix of new and returning students. The enrollment mix should be defined by the institutional administration in accordance with the mission, goals, objectives, facilities and services the college can provide to ensure that each student has resources to pursue his or her educational goals. The admissions office has the responsibility to ensure that the commitment to the enrollment pattern does not conflict with the established admissions policies and procedures, does not lead to questionable or unethical admission practices, and does not lend itself to unusual pressures directed to the applicant.

**QUESTIONS:**

1. What part does the chief admissions officer play in deciding how many new students in each category are needed?
2. What part does the chief academic officer play in deciding how many new students in each category are needed? The retention officer? The registrar? The institutional researcher?
3. Who governs and monitors the ethics employed by those people involved in recruiting students for the college?

**PROJECTS:**

1. Select three campus officers to interview about their enrollment management vision and suggested strategies. Use your notes to discuss these perspectives with the chief admissions, recruitment and college's research officers. After conducting this exercise, what suggestions for change do you have for your college's enrollment management?

**BASIC PRINCIPLE:** The enrollment manager has a clear understanding of the organization of the college, the external functions the college is expected to provide, the historic role(s) the college has played, the resources available and the annual pricing strategy, a realistic sense of the college's future and an intense concern with interinstitutional linking. The enrollment services leader or manager along with the college's leader(s) determines the institutional Team Unit or Group needed to accomplish the college's annual and long-range enrollment goals and objectives. The enrollment services officer spends as much or more time working outside the unit as within it and is placed at the level of the academic leaders or as assistant to the college's top leader. This officer is daily in a position to suggest opportunities that will ensure the college's success in graduating an optimal number of enrolling freshmen.

**QUESTIONS:**

1. Who is the manager or who are the two to three officers comprising the enrollment management team at your college?
2. Which services stated in the principle above are assigned to specific members of the enrollment management team?

**PROJECTS:**

1. Make appointments and interview the enrollment manager and/or at least three members of the enrollment management team.



2. Collect documents that illustrate functions and responsibilities of management team members.



## Enrollment Projecting

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**BASIC PRINCIPLE:** Enrollment projecting uses demographics furnished by appropriate educational and government agencies and corporations from which projections can be made of college-going people in the geographic area, the targeted markets or the contiguous or targeted areas into which the college's administration wishes to expand. More an art than a science, annual projections are affected by society's economic, educational and political activities and trends.

### QUESTIONS:

1. How does your college's institutional research and computer service serve the admissions function.
2. Who is your office's enrollment projection contact? Who is your office's computer service contact?

### PROJECTS:

1. Contact the enrollment projecting officer and the computer services liaison. Write and organize a set of interview questions that will help you learn how enrollment projections are made for your college.

## Enrollment Planning

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**BASIC PRINCIPLE:** Enrollment planning involves people concerned with recruiting, orienting, instructing and retaining students to fulfill the college's mission. Periodic meetings of the significant principals are scheduled, with at least one meeting annually attended by the top college leader who gives a clear enrollment charge for the upcoming and future years. In addition, regular notifications concerning enrollment numbers, changes, projections, patterns and trends are communicated to all campus and governing board principals who have a need to know.

### QUESTION:

1. Name and describe three kinds of enrollment planning models.
2. Of the three models you have described, which planning model comes closest to the type used by your college?

### PROJECTS:

1. Collect information on three peer colleges/universities. Compare and contrast their enrollment planning models. (Suggestion: Learn names and addresses/telephone numbers of appropriate contacts from your own college's researchers whom you have interviewed.)

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## Enrollment Marketing

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**BASIC PRINCIPLE:** The college marketing process is the set and sequence of activities that are under the control of a college and can affect the size, quality, and preferences of

its applicant pool. Marketing in higher education is based on both promotion of product and market need, identification of market need, and reaction. The academic mission of the college must be taken into account in planning marketing strategies. Marketing techniques and services that the admissions office employs must be in constant review. Marketing includes

- pricing . . . tuition and fees, other college costs, financial aid, and scholarships
- promotion . . . all aspects of college communications to its publics
- product . . . programs, services and facilities, and
- place . . . method, time, and location of delivery of services.

**QUESTIONS:**

1. What market strategy is used in your office to identify particular market segments?
2. How has your admissions office translated its marketing concepts into actual activities?
3. In implementing and developing a marketing plan, what services and research available from outside agencies, organizations, or individuals who support higher education, student development and ethical practices does your college use?
4. What does your office do to determine how your college is perceived by the marketplace?
5. After identifying particular market segments, what activities has the admissions staff undertaken to develop appropriate marketing activities?
6. Identify the basic components of a marketing plan and how they relate to higher education.

7. Identify several ways in which research can guide the application of marketing techniques in planning recruitment.
  
8. What are the goals of your college's marketing efforts?
  
9. Define the term "positioning" as it relates to your college. Why is positioning so important?

**PROJECTS:**

1. Develop a marketing plan to attract a segment of the population for your college, i.e., ethnically diverse students, nontraditional students, foreign students, etc.
  
2. What other college offices should be directly involved in the marketing process? List several marketing activities or programs each office might provide.
  
3. Compare the costs for students attending this college or university with costs for those attending competing colleges.

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 Retention

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**BASIC PRINCIPLE:** Retention is critically important to the overall enrollment of students. Colleges and universities must develop a plan or program that supports all admitted and enrolled students. Activities should include methods to ensure graduation and to

address both student life and academic problems which students may confront while attending a college or university.

**BASIC PRINCIPLE:** There is a strong relationship between the retention and the admissions policies. The review of attrition rates and characteristics should be considered when developing an admissions policy and requirements. A policy for measuring academic progress must be developed to measure retention. Admissions officers acknowledge that other factors beyond academic standards may more heavily affect the retention of students. Periodic follow-up studies on students withdrawing or being dismissed must be conducted, analyzed and shared with appropriate areas and offices.

**QUESTIONS:**

1. Does your college or university have a retention plan or program? If so, what are the responsibilities of the admissions office in its implementation?
2. How compatible is the retention program with your admissions policy?
3. What staff/administrators are responsible for the retention of students? If no one, why not?
4. What follow-up studies take place with students who choose not to enroll?

**PROJECTS:**

1. Define the policy, satisfactory progress, at your college.
2. Describe what activities/services need to be developed at your college or university to improve retention.

# 3 ORGANIZATION AND ADMINISTRATION OF THE ADMISSIONS PROGRAM

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## Organization and Administration

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**BASIC PRINCIPLE:** The effectiveness with which the admissions officer performs duties will be determined by the extent to which

- (1) the chief admissions officer plays a role in the formulation of admissions policy;
- (2) the chief admissions officer is current and knowledgeable about admission policies and practices;
- (3) the chief admissions officer has the authority to make the necessary decisions to carry out admissions policy;
- (4) the chief admissions officer keeps those responsible for admissions policy informed of the college's long-range admissions concerns, the development of operating standards, and the effectiveness with which the general admissions policy is carried out on a day-to-day basis; and

- (5) others responsible for policy formation do not engage in the direct administrative activities of the admissions office.

**BASIC PRINCIPLE:** The chief admissions officer has the authority and responsibility for executing the policy underlying the admissions program; for supervising program development; for setting the atmosphere in which the admissions staff members work; and for the vision, leadership, and effectiveness of the admissions process.

**BASIC PRINCIPLE:** No one admissions organizational pattern applicable to all types of colleges and universities is prescribed. A college of higher education should have an effective organizational plan to implement its particular mission, goals, and objectives. A functional flow chart should be available showing the organization of the college and the place of the admissions office within that organization.

**BASIC PRINCIPLE:** The position of the admissions office within the organizational structure should

- (1) assure consistent and responsible admissions decisions and practices;
- (2) facilitate the continuous development and improvement of the admissions service;
- (3) clearly fix responsibility for the implementation of the adopted admissions policy and requirements;
- (4) foster coordination with other closely related administrative services and departments; and
- (5) assure that the operation of the admissions program and the needs of prospective students are well represented and advocated at the highest administrative levels.

**BASIC PRINCIPLE:** Admissions programs and services must adhere to the intent and spirit of equal opportunity and affirmative action laws and principles.

**QUESTIONS:**

1. How much authority has the chief admissions officer been granted for the administration of the admissions program?
  
2. On which major committees with policy-making authority regarding admissions and related areas does the chief admissions officer serve?

3. How much autonomy does the admissions office have in planning and executing its own programs?
4. Does the admissions committee function as a policy-making, advisory, or reviewing body?
5. How is the admissions function integrated with the political environment and governance of the college?
6. Does the college have an organizational chart showing the relationship of the admissions office to the entire institution? Is the chart up-to-date and attainable?
7. Where has the admissions office been placed within the college's structure? Is its degree of importance within that structure consistent with the responsibilities and expectations of the office?
8. How are the lines of authority and accountability to and from the governing board, the president, the admissions committee, and the chief admissions officer defined?
9. How does the organizational structure contribute to a smooth working relationship among functional areas and to the accomplishment of the mission and goals of the college?
10. Do cooperative relationships exist between the admissions office and related services and offices?



**PROJECTS:**

1. Describe the chief admissions officer's role in making regular reports to aid the admissions policy committee, suggesting agenda items for committee meetings, preparing policies for consideration, and providing general leadership for the admissions program.
  
2. Evaluate the organizational chart of your college. Compare the organizational structure with those of similar schools and with those of competing schools.
  
3. Describe how different organizational structures could affect admissions policy.
  
4. Rank the offices or services with which your admissions office has the greatest degree of interrelationship.
  
5. Name an office with which interrelationship is currently a problem, explain why it is causing concern, and offer some solutions.
  
6. Name an office with which you do not currently have an interrelationship, but should. Describe how an effective interrelationship could be established.

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 **The Office Budget**

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**BASIC PRINCIPLE:** The ability to develop and conduct a quality admissions program is dependent upon sound financial support. The budget should be prepared in

accordance with sound educational and financial practices and should give a clear picture of the responsibilities of the admissions office. The budget should reflect the type of admissions program desired by the college and expressed in its mission and goal statements.

**BASIC PRINCIPLE:** As the manager of the admissions budget, the chief admissions officer should

- (1) have access to financial data authorized for the admissions program;
- (2) participate in the allocation of particular cost items to the admissions budget;
- (3) have the opportunity to present and interpret the budget to the appropriate administrator or group;
- (4) be consulted on budget revisions; and
- (5) review monthly reports of budget status.

**QUESTIONS:**

1. Who constructs the detailed budget for the admissions office?
2. Does the admissions office have sufficient financial support to carry out the programs and services expected by the college and by admitted students?
3. How are expenditure reviews periodically conducted?

**PROJECTS:**

1. Define the process by which the admissions office budget is developed and approved and how the specific activities are funded.

2. List those areas that are under-allocated and are preventing the admissions office from functioning as it should. Explain why an adequate appropriation has not been made.
  
3. Identify the one most important addition or change that should be made in the office, estimate the total cost, and prepare a report as you would for presentation to the president or chief budget officer.
  
4. Identify an area where the budget is not well managed or monitored. Suggest ways in which better control could be exercised and where savings could be effected.
  
5. Describe the chief admissions officer's responsibility for
  - a. determining the needs of the next fiscal year in terms of personnel, marketing plan, physical facilities and equipment;
  
  - b. controlling the budget through an appropriate records system of requisitions and expenditures; and
  
  - c. routinely reviewing financial reports, anticipating needed revisions in the budget, and requesting action as needed.

# 4 HUMAN RESOURCES MANAGEMENT

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## Staffing and Responsibilities

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**BASIC PRINCIPLE:** A key factor in evaluating the effective admissions office is the clear articulation of staff responsibilities. College or university mission, goals, and objectives must form the foundation of each admissions operation. Office mission, goals, and objectives flow from the larger vision of the college as expressed in official documents and policies from the governing board and chief executive officers. Within this framework, the responsibilities and accountabilities of each staff position must be defined and communicated to the staff and outside publics.

**BASIC PRINCIPLE:** An admissions office must have an adequate number of staff—both professional and support—to carry out assigned responsibilities.

**BASIC PRINCIPLE:** Organization and supervision of the staff must allow for the efficient and timely completion of necessary tasks while ensuring opportunities for individual growth.

**QUESTIONS:**

1. Is there a detailed, clear, and up-to-date position description for each member of the admissions staff, professional and support?
2. How do position descriptions relate to published institutional and office goals and objectives?
3. How do individual position descriptions reflect defined admissions and marketing policies and procedures?
4. How are professional and support staffs coordinated in carrying out total office responsibilities?
5. What mechanisms are available for individual staff to provide input on the need to change position responsibilities?
6. Are position responsibilities—individual and total office—reasonable in terms of the amount of resources and time available to complete them.
7. What process is available to determine the adequacy of professional and support staff to accomplish the responsibilities assigned to the admissions office?
8. How does the organization of the admissions staff contribute to the efficient and effective completion of assigned responsibilities?

9. How does supervision assist in personal growth for staff members?

**PROJECTS:**

1. Develop a communications project to keep the college or university community informed about admissions responsibilities.
2. Develop a program which allows support staff and professional staff to communicate to each other their respective responsibilities.
3. Review individual admissions staff position descriptions for inconsistencies and develop recommendations for change.
4. Talk to other admissions officers to identify alternative office organization models for possible changes at your college and to study the organizational charts of admissions offices at similar colleges or universities.
5. Prepare a time line for individual admissions staff members to determine the feasibility of completing the assigned tasks.



## Preparation and Competencies

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**BASIC PRINCIPLE:** The admissions staff must communicate college or university image, admissions policies and procedures, and general information to students, parents, secondary school/community college personnel, and other members of the college's

publics with precision, clarity, and, sometimes, with diplomacy and compassion. The admissions staff must also successfully collect and communicate demographic data and other research data which will affect the college's ability to achieve its goals and objectives.

These responsibilities require wide ranging competencies in many areas of communications, human relations, administration, and technology (see Appendix A, Competencies for Admissions and Records Professionals: An AACRAO Guide to Entry and Advancement in the Profession). Entry level positions must be filled with individuals who meet minimum competency levels. Supervisory and chief admissions officer positions expect increasingly sophisticated competency levels.

### **QUESTIONS:**

1. In hiring entry level or senior admissions staff, which basic and/or advanced skills in oral, interpersonal, and written communications, as outlined in Appendix A, are considered essential?
2. In hiring entry level or senior admissions staff, which basic and/or advanced skills in human relations, as outlined in Appendix A, are considered essential?
3. In hiring entry level or senior admissions staff, which basic and/or advanced skills in administrative areas, as outlined in Appendix A, are considered essential?
4. In hiring entry level or senior admissions staff, which basic and/or advanced skills in technology areas, as outlined in Appendix A, are considered essential?
5. What steps in the selection process ensure that new staff meet minimum competency levels?
6. What steps ensure that the staff reflects the diversity of the general population?

**PROJECTS:**

1. Using the appendix document, prepare a competencies inventory which individual admissions staff could use to determine basic skill levels and which could be used as a guide to interview admissions staff candidates.
2. Develop a personal plan that would lead to the development of two advancement skills in each competency area in the next year utilizing on-campus opportunities.
3. Research how professional admissions organizations could help individuals develop advancement skills in each competency area.



## Staff Training Methodology

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**BASIC PRINCIPLE:** Even with appropriate competency levels, individual admissions staff members must have adequate training to apply those competencies to position responsibilities and thereby maximize contributions to the success of the total admissions team. This requires a thorough and timely introduction to the college and office mission, goals, and objectives, policies, procedures, and people, as well as to the admissions profession.

**QUESTIONS:**

1. What methods are utilized to train new staff members before they begin their job assignments?
2. What standardized project planning documents and/or policies and procedures manuals exist for projects which new admissions staff must plan and execute?



3. What opportunities does staff training provide new admissions officers to attend statewide, regional, and/or national training programs sponsored by professional admissions organizations for an introduction to the admissions profession?
4. What opportunities exist for experienced staff to receive training updates at established intervals (e.g., beginning of a new academic year)?
5. What opportunities exist for frequent and routinized exchange of information for ongoing training (e.g., weekly staff meetings)?

**PROJECTS:**

1. Develop a planning document and apply it to an admissions office project.
2. Develop a role play training segment which could be video taped on interviewing, college night presentation, etc.
3. Research training opportunities available at the state, regional, and national levels and determine which would benefit you most.



## Evaluating Personnel

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**BASIC PRINCIPLE:** An effective admissions office requires regular, constructive feedback between supervisor and staff member, both professional and support. Formalized job

descriptions, comprehensive enough to provide a framework for evaluation, must be developed and regularly updated to allow for this feedback. The competencies document in the appendix may provide a valuable resource in setting performance measures. However, other items, such as market plans, goals and objectives statements, and/or individual strategic planning documents, are crucial for the most comprehensive evaluation. While feedback must be ongoing, formal evaluation and careful documentation of these sessions with staff is recommended at least twice a year.

### **QUESTIONS:**

1. What opportunities are available for regular, structured interaction between admissions staff and supervisors to discuss job responsibilities and to receive feedback on job performance?
2. Do all meetings with supervisors allow for discussion of priorities and opportunity for constructive criticism?
3. How often and when are formal evaluations (with a written record of the evaluation given to the staff member) done for all professional and support staff?
4. On what basis are staff members evaluated and how and when are they informed of the evaluation criteria?
5. What other measures are used in the evaluation process: market plans, program planning documents, evaluations from students or counselors?

### **PROJECTS:**

1. Critique the evaluation process for admissions staff members. Suggest enhancements.

2. Design an evaluation/feedback model to routinize evaluation for admissions staff outside the annual evaluation process.
3. Research structured staff/supervisor interaction models, e.g., standing meetings, performance management.



## Professional Development and Leadership

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**BASIC PRINCIPLE:** To be effective in a rapidly changing environment, admissions staff members must have available, and take advantage of, opportunities for professional development. Rapid changes in the environment of higher education—declining or changing resources, increased pressures for accountability, the increased emphasis on diversity and access—have had a major impact on admissions and the changing pools of prospective students. This impact has been coupled with equally rapid changes in admissions itself, including the development of the enrollment management concept and technological advances in such areas as database management and electronic transmission of data. All of this can result in burnout and rapid staff turnover. In this environment a professional development plan for all staff members within the admissions office is required. This plan should encourage formal training/education both on and off campus, involvement in professional associations, and research activities which further the knowledge base of admissions.

**BASIC PRINCIPLE:** Admissions staff are encouraged to take a leadership role outside the college with students, parents, secondary school/community college personnel, and community leaders in articulating the importance of preparation for college, in ensuring access for all students to higher education, and in enhancing diversity in higher education.

**BASIC PRINCIPLE:** On campus, admissions staff must exhibit a willingness to share ideas and experiences in admissions in order to involve the entire university community in the admissions process.

**BASIC PRINCIPLE:** In a time of intensifying recruitment, there are many pressures to utilize questionable or outright unethical practices. Admissions staff must resist

these pressures and take a leadership role in upholding ethical standards as defined by admissions professional organizations.

**QUESTIONS:**

1. What opportunities for professional development are available to professional and support staff through admissions office, institutional, and/or state/regional/national programs?
2. How do professional development opportunities available to staff help to develop the competencies in Appendix A?
3. What regular, but informal, activities shared by professional and support staffs alike are available for team building (special activities, recognition of longevity, contests, etc.)?
4. What mechanisms are in place to identify the pressing needs for staff training and development?
5. How do both professional and support staffs participate in planning staff training and development?
6. What involvements—specific activities to encourage adequate preparation for higher education—do admissions staff have with secondary schools/community college groups outside college?
7. What opportunities are there for admissions staff to be involved with the larger community in promoting access and diversity?

8. What memberships do admissions staff hold on campus-wide committees?
9. What mechanisms exist for the efficient and effective involvement of other campus offices and/or faculty in admissions activities?
10. What mechanisms are available to ensure adherence to the Joint Statement of Principles of Good Practice of the American Association of Collegiate Registrars and Admissions Officers (AACRAO) and the National Association of College Admission Counselors (NACAC)?

**PROJECTS:**

1. Review the list of competencies in Appendix A to determine what kinds of professional development are needed.
2. Identify a topic of special interest to the admissions staff and plan a retreat away from the office to consider the topic. Develop mechanisms that will inform and allow creative input to the topic during the retreat.
3. Outline a program that will involve all members of the admissions staff in a team building activity.
4. Examine recent staff turnover patterns and identify professional development activities that might improve staff retention.
5. Research professional organizations related to admissions and prepare a proposal that would involve more college admissions staff in activities of these organizations at the state, regional, or national levels.

6. **Develop a college planning seminar to present to parents of juniors at area high schools.**
  
7. **Identify members for a campus-wide liaison body for recruitment-related activities or plan an agenda for an already existing group.**
  
8. **From the Joint Statement (Appendix B), develop a checklist of good practices which can be applied to new recruitment programs.**

# 5 PHYSICAL RESOURCES

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## Facilities for Guests

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**BASIC PRINCIPLE:** The admissions office and other related offices that serve as meeting places for prospective students, counselors or families reflect the environment and atmosphere of the entire campus. Office space should not only be welcoming and functional for guests but should provide staff with space for interviewing or counseling.

### QUESTIONS:

1. Do you have a campus map? Does the map direct visitors to important places on campus? How is it distributed to guests planning to come to the campus?
2. Are there campus signs to direct visitors to the location of the admissions office?
3. Is parking available for guests?

4. Is the office accessible for the handicapped? Has the campus tour been designed to accommodate handicapped guests? Can you describe how accessible the campus facilities are for handicapped students?
5. Take a look at your office's reception area? What image of the campus does it present?

### **PROJECTS:**

1. Do an assessment of your reception area. Is the furniture comfortable and in good condition? Are there reading materials or a campus video available for guests while they are waiting? Are campus reading materials provided. What is offered for younger members of the family who are visiting? Are beverages available? Who greets visitors? Who is responsible for seeing that the reception area is always in order? What is available for guests who arrive after hours? What message is given to those who arrive without an appointment?
2. Contact three other college admissions offices. Ask what they think are the most effective aspects of their procedures and facilities for greeting campus visitors. What recommendations would you make for improving your reception area?
3. Are there other areas on campus that you think should be improved because they impact the image of the campus for visitors? If yes, describe how you should go about recommending these changes.



## **Facilities for Staff**

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**BASIC PRINCIPLE:** The admissions office should provide office space for staff that is functional for both counseling and administrative responsibilities.



**QUESTIONS:**

1. How efficient is the admissions office space for both professional and support staff to perform their various functions?
2. What space is available for staff meetings and special projects?
3. Are offices furnished with attractive and functional furniture?
4. Where are general office supplies and personal office files stored?

**PROJECT:**

1. How would you reorganize or change your own office to make it more efficient to work in and make it more appealing to visitors?

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 **Equipment and Supplies**

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**BASIC PRINCIPLE:** Appropriate and up-to-date equipment and technology should be made available to the admissions office.

**QUESTIONS:**

1. What access do admissions staff have to personal computers on online systems?

2. Where are student files and general storage located? Are files and storage located out of the public's view?
3. Describe your office's filing system. Is it efficiently organized and accessible for all staff?
4. What do staff use to carry bulky materials on recruitment trips?
5. Describe your phone system. Does it provide for privacy and services such as call forwarding, call pickup, phone mail and conference calls?

**PROJECTS:**

1. Compare the equipment available to staff in the admissions office with equipment in two other admissions offices or other offices on campus. Identify office equipment that could be added to your office that would enhance the admissions operation.
2. Are there supplies or equipment in your office that are outdated or inefficient? How would you go about recommending that they be changed, revised or discarded?
3. Review the records management system in relation to the equipment and supplies available for filing systems. Investigate a new approach for records management and describe how it might enhance the operation.



## Resource Library

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**BASIC PRINCIPLE:** Every admissions office should include a resource library for the continual training and development of staff and for research projects and special assignments. Often extensive materials are available in the campus library. The exposure of staff, however, to current periodicals, catalogs, journals, and other literature on admissions issues is critical to the operation of an effective admissions office.

### QUESTIONS:

1. Does your office include a resource library?
2. Are materials generally accessible to members of the staff?
3. Who is responsible for maintaining the professional reference materials for the office?
4. Is there an area designated as a quiet research area for staff away from their desks?
5. To what professional journals does your office subscribe?

### PROJECTS:

1. If you have no resource library, develop a list of the materials that should be included in such a library. Develop a proposal for your chief admissions officer on the establishment of a resource library.

2. **If you have a resource library, review the materials included and make recommendations for the inclusion of additional materials on topics for which you have discovered a need, such as on ethics, cultural diversity, etc.**
  
3. **From the materials included in the library, would you be able to prepare a proposal for your supervisor on how to develop an alumni admissions program? If yes, prepare a bibliography for such a proposal; if no, suggest the materials that should be included in your resource library that would enable you to do so.**

# 6

## DEVELOPING AN EFFECTIVE STUDENT CONTACT PROGRAM

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### School, College, Community Relations

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**BASIC PRINCIPLE:** The information provided in the high school visit and the relationship established between the college's representative and the high school counselor and others who counsel students are factors in guiding students to consider the college. Checks and balances must be maintained by colleges to ensure the integrity and accuracy of information disseminated to the high school counselors and their students.

**BASIC PRINCIPLE:** Articulation between two- and four-year colleges of higher education is essential to provide the two-year student with accurate transfer information and access to the baccalaureate degree-granting colleges.

**BASIC PRINCIPLE:** Adults and other individuals in the community wishing to enter or return to college to complete their education or prepare for new careers are likely to have less access to information on academic opportunities and entry timetables. To serve this population, admissions offices need to provide information through community outlets where the adults are most likely to be reached.

**BASIC PRINCIPLE:** Various referral services and agencies are involved in educational counseling. Admissions officers should be fully informed about the quality and reputation of those agencies or organizations that provide student referral services to help prospective students select an appropriate college or university to which they may apply.

**BASIC PRINCIPLE:** All colleges should make profile information of the entering freshman class available to prospective students and high school counselors. The profile should contain appropriate information to help students compare their academic credentials with those of currently enrolled students, and to serve as a guideline to high school counselors for advising their students in making college choices.

**BASIC PRINCIPLE:** College image is important to the functioning of an admissions office but is usually the responsibility of a public relations office. The admissions staff in its relationships with students, parents, and counselors needs to be aware of the extent to which college visibility is either aiding or hindering the enrollment of new students.

**QUESTIONS:**

1. What are some strategies your admissions staff uses to develop ongoing relationships with high school counselors and others who counsel students in their college selection search?
2. Describe the outreach activities used in your admissions office to inform high school and community college students about the educational opportunities at your college.
3. What is the process for conducting high school and community college visits, including identification of schools, initial contact, scheduling or rescheduling of visits, follow up on concerns raised during the visits, thank you letters to the counselors, etc.?
4. What (if any) cooperative efforts are used between colleges/universities of higher education, high schools, and community colleges to organize and manage college night programming in your state?

5. Describe how your admissions office provides information to prospective entering and returning adult students in your community. What community resources or outlets are used to reach these individuals?
  
6. What is your office procedure regarding dissemination of information to special populations such as ethnically diverse groups, disabled individuals, international students?
  
7. What is your office position regarding independent counselors and referral services who represent prospective students? What measures are taken to protect the privacy of students relative to providing information to these individuals?
  
8. What type of training is given to your staff to respond to perceptions about your college which may negatively affect enrollment of new students?
  
9. If your college prepares statistics on an entering freshman class profile, which of the following information is included on the profile:
  - a. Number of applications filed, number of students accepted, and number of students enrolling?
  
  - b. Listing by states of applicants' geographic origin?
  
  - c. Description of the entering class's range of academic qualifications by high school rank, grade point average, and college entrance examination scores?

- d. Persistence to graduation and attrition rates?
  - e. Brief description of the entering class's academic and career interests?
  - f. Brief account of the number of students granted financial aid, the average size of the awards, and the types of aid programs available?
  - g. Comments on changes in course offerings, grading practices, new physical facilities, etc.?
  - h. Information on qualities most desired in students and factors influencing the admissions decision?
  - i. Supplemental literature for specific items such as departmental offerings, minority group programs, athletic and extracurricular activities?
10. What type of follow-up data does your office provide to the high school and community college counselors on the academic progress of former students enrolled in your college?
11. How does your college provide updated information to high school and community college counselors regarding changes in curriculum, additions or deletions of courses or programs, entrance requirements, cost increases?



12. What type of current information does your office maintain about high schools and community colleges, such as community demographics, socioeconomic composition of student body, percent enrolling in postsecondary education?

**PROJECTS:**

1. You have been given the responsibility of managing the high school visitation program for your office. Develop a plan for scheduling visits, assigning staff, contacting the schools, instructing staff on their responsibilities, and creating a follow-up contact with the schools. Create a macro budget to cover the expenses of this program.
2. Propose an outreach plan for contacting the following prospective student groups in your community and informing them about the educational opportunities at your college: adult students, ethnically diverse groups, disabled individuals.
3. If a profile does not exist, or if an existing profile does not contain the items identified in Question 9 above, develop a draft which includes the items from Question 9.



## Campus Visits

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**BASIC PRINCIPLE:** The campus visit can be an effective and important recruitment technique for a college. The structured visit should be well organized and directed to the needs of the student and parents who accompany the student. A campus visit may include a campus tour conducted by individuals who are knowledgeable about the campus community. The campus visit should expose students to the physical facilities and student residential areas as well as to other students, faculty, and administrative personnel whose services will be of special interest to them.

**QUESTIONS:**

1. How are prospective students, their parents, and other groups made aware of the campus visitation opportunities at your school or college?
2. Which offices or departments on your campus are responsible for formal campus visit programs and/or casual unplanned visitation opportunities?
3. What activities does a typical structured campus visit program include?
4. What considerations are given to special populations such as handicapped individuals in setting up campus visits?
5. What literature is available to people who drop in for a campus visit to guide them through a successful experience?
6. What student services departments, faculty, and students are available to meet with prospective or admitted students who visit your campus?

**PROJECTS:**

1. You have been assigned the responsibility of developing a formal campus visit program for admitted freshman students on your campus. Prepare an outline of the program you would recommend. Consult with individuals on your campus who currently handle this responsibility for ideas.
2. Identify issues or areas that pose problems to potential visitors. List ways these problems could be minimized or eliminated.

3. Identify unique visitor groups who might require special arrangements for their visit. Describe the problem, any special arrangements which might have to be made and how you would implement them.
4. Identify types of visitors who are *not* being served by the Admissions Office. Suggest reasons for this and how the problem can be eliminated.



## Use of College/University Personnel Other Than Admissions Staff for Recruitment

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**BASIC PRINCIPLE:** Colleges may call upon other members of the college community to extend and enrich the recruitment efforts of the admissions office. Faculty, administrators, athletic coaches, and student services personnel provide prospective students with firsthand knowledge of their area of expertise. With proper guidance, university personnel can complement the initial efforts of the admissions office as an additional phase of the recruitment plan.

### QUESTIONS:

1. What role do college personnel play in the recruitment activities of your school?
2. What is the flow of communication and information between the admissions office and university personnel who participate in recruitment for the college?
3. What techniques are currently used in the admissions office to evaluate the effectiveness of college personnel in recruitment efforts?

**PROJECTS:**

1. Develop an outline for utilizing college personnel in the admissions office recruitment activities. Include a brief overview on what their duties would be and how they would be selected, trained, supervised, evaluated, and rewarded.
2. Describe how college personnel who are involved in recruiting are trained and evaluated.



## Use of Volunteer Groups for Recruitment

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**BASIC PRINCIPLE:** Many colleges draft a support group of volunteers from the ranks of students, alumni, and parents of currently enrolled students. These volunteers supplement the work of the professional admissions staff. Volunteers must receive training before they can interpret and communicate the college's admission policies and requirements. Training should include information about admission requirements; financial aid and scholarships; academic programs; social, cultural, and recreational programs; geographic location; and composition of the student body. It is essential that volunteers understand the importance of providing accurate and truthful information to help guide the students in their decision-making process.

**QUESTIONS:**

1. Which volunteer groups are used in your college's recruitment activities?
2. How are the volunteers trained?
3. Who is responsible for managing the volunteer program?

4. What recruiting activities are assigned to volunteers?
5. What type of communication and information flows between the volunteers and the admissions office?
6. What techniques are used to measure the effectiveness of the volunteers' efforts? How are the results relayed to the volunteers?
7. What method is used to monitor the quality and accuracy of the volunteers' work? How are volunteers who are having a negative effect on your recruitment efforts dismissed?

**PROJECTS:**

1. You have been assigned the responsibility of developing an alumni volunteer recruitment program. Develop a plan for identifying, training, assigning, and evaluating alumni to represent your college at college night programs throughout the country.
2. You have been given the assignment of developing a student volunteer recruitment program to contact admitted students prior to enrollment to encourage them to enroll. Prepare an outline on how you would attract, train, assign, and supervise the volunteers and evaluate their activities.



## Direct Mail Contacts, Audio-Visuals, Telemarketing Communications and Publications

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**BASIC PRINCIPLE:** All methods of communicating with students should reflect the integrity and enhance the image of the college as well as provide an accurate and appropriate representation.

Direct mail provides the opportunity to make an initial contact with many thousands of prospective students and invites further inquiry. Coordinated publications packages have been the backbone of providing information to students and are most effective if developed as a series of pieces, including an introductory viewbook, poster, application packet, admissions packet, financial aid and career brochures. Viewbooks often are condensed versions of the catalog and include portions of the catalog considered essential for prospective student consumption.

Audio-visual communication in the form of slide-tape shows, videotapes or 16mm films provides an overview of the college. Productions should provide a realistic picture of the academic, social, cultural, recreational and climatic variables associated with the college, and should include a valid depiction of ethnic/racial diversity.

Telemarketing is a method of reaching prospective students on a one-to-one basis and brings a personal element to the recruitment contact. The college representatives must be knowledgeable and trained to provide a correct and honest picture of the college to the prospective students being contacted by telephone.

**BASIC PRINCIPLE:** All colleges must publish a catalog. Although not a contract, this comprehensive publication describes the college's mission, goals and objectives, rules, requirements, policies, and coursework offered. The catalog is considered the reference for historical information, and is the printed authority of the college. The catalog also reflects the college's organizational and academic structure. Chief admissions officers are responsible for making the catalogues accessible to prospective enrollees and the supporting publics.

### QUESTIONS:

1. If your office uses direct mail contact with prospective students, how is the target population chosen, who controls the content of the letters, and what follow-up is used to respond to the contacted students' replies?

2. What research is conducted on the direct mail project to determine the effectiveness of this method of contacting prospective students?
3. Describe the series of publications developed by your college. Which office or department is responsible for preparing the publications?
4. How are ethnic diversity and multicultural issues covered in your publications?
5. Describe special admissions publications which are directed to a clearly identified target audience, i.e., honors students, transfer students, ethnically underrepresented students, chronologically disadvantaged students?
6. How are the publications field-tested to determine whether they are meeting the needs of the target populations?
7. How are current catalogs made available to students and high school guidance offices?
8. Which office or department has budgetary control over admissions/recruitment publications?
9. How does your office ensure information in the publications is truthful and ethical?
10. If your office has an audio-visual aid in the videotape format, how is it used in your recruitment efforts?

11. How is telemarketing used in your recruitment plans?
  
12. What system is used to compare your publications to those of competitors or award winning publications?

**PROJECTS:**

1. Prepare an outline of the direct mail program in your office from the first search purchase of names to the final communication with the student.
  
2. Make a list of all publications produced by your college for recruitment purposes. Explain why each one was designed and what role it serves within the college.
  
3. Examine admissions publications used by other universities. What are the strengths and weaknesses of these publications? Prepare a brief report on changes that could be incorporated into your college's publications and how weaknesses in these publications could be eliminated.
  
4. If your office has an audio-visual recruiting tool, such as a slide-tape show, videotape or 16 mm recruitment film, review it and evaluate its relevance for current prospective students. Determine how your recruitment video is being used. Suggest additional avenues for making the video available to students.





## Inquiries, Communications, Follow-Up

**BASIC PRINCIPLE:** Inquiries should be promptly acknowledged. Communications, whether written or by telephone, should be authoritative, accurate, and up-to-date.

**BASIC PRINCIPLE:** Written communications to students, counselors, or other publics should always include correct information written in proper and acceptable grammar. The correspondence is considered an official representation of the admissions office and is a reflection on the college.

**BASIC PRINCIPLE:** Telecommunication is communication between various publics and representatives of the college by means of the telephone. Telecommunication is a way to reach students on a one-to-one basis as well as a method of developing a positive relationship between your college and high school personnel. Individuals representing the school/college should have a pleasant and positive approach and be able to give accurate information to the individuals being contacted.

**BASIC PRINCIPLE:** Follow-up programs represent a comprehensive approach to keeping track of and documenting all forms of contact with prospective students. Follow-up of prospective and admitted students is the responsibility of the admissions office, and communications should be sent on a critical time-need basis. Follow-up with admitted students who have not yet registered for classes should ensure a smooth transition into the college. Students who choose not to enroll at your college can also provide valuable research data. Information gleaned from follow-up programs can provide insights into perceived institutional strengths and weaknesses as well as the college-selection process.

### QUESTIONS:

1. What is the method used to assure that inquiries, whether in person, written or via telephone, are handled in a timely and accurate manner?
2. What is your office's procedure for responding to general calls from the public? How is telephone courtesy monitored?

3. What is the procedure for distributing and responding to general mail in your office?
4. How does telecommunication fit into the recruitment plan for your admissions office?
5. What follow-up procedures does your admissions office use to keep in communication with students after admission and prior to enrollment?
6. What kind of academic advising, testing, counseling, and orientation information do students who are offered admission routinely receive?

**PROJECTS:**

1. Organize a focus group of currently enrolled new students and get their opinions on the communications provided by the admissions office during the months of recruitment.
2. Define the most effective follow-up activities on your campus. Describe the methods of measuring this effectiveness.
3. If not currently part of your college procedures, propose and develop a questionnaire to be sent to students who chose not to accept admission at your college to learn their reasons for not attending.

# 7

## THE ADMISSION OF STUDENTS

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### Admissions Policy

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**BASIC PRINCIPLE:** The admissions policies of colleges and universities, whether highly selective or open admissions, vary greatly. Therefore, it is essential that admissions policies be designed to suit the individual character and mission of the college, the process of educational instruction, and the diversity of the student body.

The admissions policy must be reviewed, evaluated, and understood as it relates to the mission, goals, and objectives of the college or university as a whole. The admissions policy must consider the emerging characteristics of secondary schools, and their graduates, the needs of society, and the legal regulations and mandates of the governing board.

**BASIC PRINCIPLE:** The admissions policy serves as a guide for establishing appropriate admissions criteria and for making admissions decisions. The policy aims directly at the fulfillment of the desired goals and objectives. The development of such a policy should be a cooperative effort involving staff, administrators, and faculty.

#### QUESTIONS:

1. In what admissions promotional materials is your admissions policy stated?

2. How is your admissions policy consistent with the goals and objectives of your college or university?
  
3. Is your admissions policy clearly stated in terms easily understood by prospective students and the general public, as well as secondary school guidance personnel, faculty, and other administrators?
  
4. How do admission policies promote and provide equal educational access to all students interested in and capable of pursuing an education at your college?

**PROJECTS:**

1. Define the term "policy." Explain how a policy differs from procedures.
  
2. Identify one aspect of your admissions policy that should be changed. Describe the change and the impact this might have on admissions procedures and the basis for making admissions decisions.
  
3. Describe the steps taken at your college to develop admissions policies and the extent of involvement of admissions staff.

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 **Admissions Procedures**

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**BASIC PRINCIPLE:** An orderly sequence of admissions procedures should be utilized by the admissions staff when considering applications. The sequence should be an

efficient method for processing applications and responding to the public regarding admission.

**BASIC PRINCIPLE:** Admissions procedures should be clearly outlined and understandable by the public. The process applicants use for admission should not create a barrier for nor inhibit a qualified applicant from being considered.

**QUESTIONS:**

1. What steps in the admissions procedures cause problems for the applicant or admissions staff?
2. How would you change the processing procedures to make them more efficient?
3. Who is responsible for reviewing admissions procedures to assure that they adhere to professional standards and ethical practices?
4. What are the policies and procedures for readmission of students who are academically dismissed or suspended? Are there provisions in the enrollment projection models to determine the yield of the returning students?

**PROJECTS:**

1. Develop an application processing flow chart for your college or university.
2. Compare your procedures to a college or university that is relatively similar and one extremely different in terms of mission, goals and objectives.
3. Explain the exact procedure you would follow if you wanted to change the admissions policy.



## Admissions Requirements

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**BASIC PRINCIPLE:** Admissions requirements reflect the admissions policy of the college or university. These admissions requirements should be based on current research, and provide a sound basis for making an admissions decision. The requirement used to admit or deny the applicant to a specific academic program or college should be based on known predictive measures that have been systematically verified and validated. However, admissions requirements are sometimes affected by societal, demographic or economic issues, dependent upon the goals, objectives, and mission of the college or university.

**BASIC PRINCIPLE:** Admission requirements should provide consistency and stability for any applicant group. However, admissions requirements should be flexible to be fair and to allow for unusual circumstances. Proposals for new or considerably expanded admissions requirements should be subject to critical review by appropriate committees of the administration, faculty, and governing board well in advance of their implementation.

### QUESTIONS:

1. Where does an appropriate, up-to-date description of admissions requirements appear? Does the description accurately reflect your admissions staff practices?
2. How are the admissions staff, both professional and support, trained to have a clear understanding of the admissions requirements?
3. Which of the admissions requirements are the most reliable in predicting college success at your college or university?
4. Have your admissions requirements ever been criticized for being unfair, unethical, or discriminatory against any group of students? For what reason?

5. Are your admissions requirements developed more for the purpose of admitting or denying students?
6. How do admission criteria take into consideration the strengths, needs, and differences that ethnically diverse and special populations bring with them to the campus?

**PROJECTS:**

1. List and explain the admissions requirements at your college or university. Indicate the differences between freshman and transfer requirements.
2. Compare the differences between the average mean profile of enrolled students and the minimum requirements.
3. Describe the procedures for developing admissions requirements and for validating them.



## Prediction of College Success

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**BASIC PRINCIPLE:** Selection of students for admission must involve fairness and equity. Decisions should be made without bias.

**BASIC PRINCIPLE:** Success in college results from the interaction of three variables: student motivation and achievement and college match. Other variables may also have an effect. The task of an admission officer is to weigh these three variables and determine the likelihood of success for an individual student in the context of his or her college.

**BASIC PRINCIPLE:** An admissions officer must know the variables that are likely to predict success for the student in his/her college. These variables might include test scores, high school rank, course pattern and other quantifiable data. Nonacademic criteria, where appropriate, might also be included.

**BASIC PRINCIPLE:** Admissions officers must review decisions made and the success of students who have enrolled. Regularly, the equation for evaluating candidates should be revised based on this data.

**BASIC PRINCIPLE:** Matching a student with a college is the essence of the admissions process. Colleges are dynamic, ever-changing. Admissions officers must develop a means of keeping current with the college, its programs and characteristics.

**QUESTIONS:**

1. What are the variables used to determine a candidate's potential for success?
  - a. What weight is given to each?
  - b. Are the variables different for different programs?
2. Are records maintained over an extended period such that they allow a review of admissions decisions in the context of success in the college?
3. What is the system that enables the admission officer to keep up with changes in the college as they relate to institutional match?


**PROJECTS:**

1. Review by writing down the mechanism by which admissions decisions are made for all groups of candidates.



2. Review recent annual policy decisions and measure these against the success criteria established for your college.
3. Meet with a representative or with the chief academic administrator and the chief student life administrator to determine what section criteria is new at the college and what changes will be made in the coming year.

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## Evaluation of the Candidate

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**BASIC PRINCIPLE:** Criteria employed in the evaluation of a candidate must be relevant to predicting the candidate's success at the specific college.

**BASIC PRINCIPLE:** The framework employed in the evaluation of one candidate must be employed in the evaluation of all candidates for a given campus or program. This does not exclude the use of variables appropriate to the goals of a college. It does, however, discourage the use of a quota system.

**BASIC PRINCIPLE:** Nonquantifiable data is often used in admissions decisions. While valuable in making decisions, the weaknesses and potential strengths of such information must be acknowledged.

### QUESTIONS:

1. Does the application form request appropriate and sufficient information?
2. Does your college use a different application form for transfer students? If so, how is the form different and does the information help to facilitate the evaluation of the candidate?

3. Is the secondary school transcript evaluation based on its ability to predict success at the college? Are academic and elective courses evaluated separately?
4. What information is used in predicting success in college for transfer students? Is this information measured against a validity equation?
5. How are standardized tests used? Is their weight in the admissions formula based on validity research? Do decision reviewers know the strengths and weaknesses of these tests?
6. Is the entire process of evaluating a candidate undertaken with the interests of the candidate as well as the interests of the college considered?
7. Is an interview employed in the decision-making process? If so, is the interview used for all candidates? Is the information that is gathered consistent from candidate to candidate? Does the interview have relevance to success at your college? How is this information used?
8. Is research conducted that validates freshman admission policies? Transfer policies? Describe this research.

**PROJECTS:**

1. Complete the freshman application form and consider the way in which each piece of information is used in the admission or advising process at your college.
2. Complete the transfer application form and comment on the appropriateness of the form.

3. Read and comment on the published information on standardized tests. List the strengths and weaknesses of standardized tests in predicting success in college.
4. Review completed application files and discuss admissions decisions with other admissions officers.



## Reviewing Applications from Special Populations

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Often adults, veterans, disabled, athletes, artists and musicians, children of alumni, employees, potential donors, ethnically diverse populations, students with other special talents and international students will benefit from or contribute their talents to the college in a unique way.

**BASIC PRINCIPLE:** Admissions officers who review applications from diverse populations must have access to training that sensitizes them to the potential needs of these applicants. If training is not available, admissions officers should consult with staff members who are trained.

**BASIC PRINCIPLE:** Admissions work is a combination of an art and a science. Admission officers are expected to exercise good judgment when the data suggests a decision that is not supported by the data or by their experience in the field. Care should be taken to avoid unilateral decisions. The administrator should have a committee or another proven viable resource to cross validate the judgment decision.

**BASIC PRINCIPLE:** Colleges/universities thrive on success. If a candidate will contribute talents which can not be objectively measured, the admission officer must evaluate this potential contribution in the process of determining the admissions decision. In some cases these students might not meet all the established criteria.

### QUESTIONS:

1. Does the admissions officer recognize and compensate for personal bias in the current decision-making process? Is the officer supported by the faculty in this subjective process? By the administration?

2. Does the admissions policy pursue candidates who show promise but who do not meet all the established criteria?

**PROJECTS:**

1. Review the formula used for admission decision-making. Analyze its criteria in the context of educational advantage and disadvantage to the entering students.
2. Establish an appeal process that will enable admissions officers to speak on behalf of candidates. Maintain records on those who have been admitted through this process and re-evaluate the value of the process after one or more years.
3. Meet with and discuss the needs of theater directors, art instructors, music faculty, coaches and others who operate special programs. Evaluate their needs as you articulate the standards and expectations necessary for a student's success at your college.
4. Analyze the mission, the facilities and the programs of your campus in the context of potential and current students' needs.
5. Discuss ways to establish an understanding with all sources of potential pressure so that politically difficult admission decisions can be handled smoothly and in the best interest of the student and the college. Are there ways in which these practices can be supported by approved policies at your college?

# 8 MANAGING RECORDS AND INFORMATION SYSTEMS

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## Records

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**BASIC PRINCIPLE:** The professional admissions counselor understands that confidentiality of records and information is a serious responsibility. The admissions officer is responsible for restricting the access to and ensuring the security of information stored in the admissions information system. The admissions office has an ethical, moral, and legal responsibility to assure that admissions records do not violate the trust of contributors of supporting admissions information nor the rights of students or the parents of students. Confidential information should be used exclusively for the purpose for which it was collected. Records of a highly confidential nature, such as health and financial aid information, should be kept in separate files and should not be maintained as a part of the general admissions file.

**BASIC PRINCIPLE:** Comprehensive information about pre-applicants and applicants, systematically organized for use, is essential for an effective admissions program. Records provide original source material for the admissions office. The number, form, and method of maintaining admissions records are dependent upon the general system in use. While this function may be routine to a great extent, it is one

of the most vital of the admissions office. Evaluation of the records system should be made in terms of the completeness of the record system; the care with which records are prepared, filed, and archived; and the proper use of records.

**QUESTIONS:**

1. What are the procedures in your office regarding confidentiality of student records?
2. How are those who contribute information of an evaluative nature clearly informed of the treatment of such information with respect to confidentiality?
3. How is the students' right to privacy considered when deciding what specific information will be requested on your application and other forms?
4. What procedures are in place to assure efficient and accurate processing of incoming application materials?
5. What are your procedures on making admissions records easily accessible to all who are authorized to use them?
6. What on-going system of in-service training program is available for clerical and supervisory staff members to assure that the recordkeeping functions are continuously performed in an efficient, timely, accurate, and secure manner?
7. How is the effectiveness and security of the recordkeeping system monitored?

8. What guidelines have been established for the retention, archiving and destruction of admissions documents?
  
9. If the processing of your records and data system is automated, what safeguards within the system prevent unauthorized input and retrieval of data?

**PROJECTS:**

1. Trace the path of an incoming application from arrival to final status action. If you discover any flaws in the process, outline a plan for eliminating these problems.
  
2. Describe how your office purges its files of admissions documents.



## Admissions Information System

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**BASIC PRINCIPLE:** An information system can be defined as the procedures, methodologies, organization, software, and hardware elements needed to insert and retrieve selected data as required for administering an office or college. The term “information” includes all specific and essential data required to conduct the activities of the office or college, regardless of whether the information is classified as operating, managing, or accounting.

**BASIC PRINCIPLE:** The primary objective of an admissions information system (automated or manual) is to assemble and present pre-applicant or applicant data in a form that will permit recruitment, as well as consistent, rational, and equitable decisions in the admissions process. In accomplishing its primary objective, a well-functioning system shall be designed to:

- assist the admissions officer in various recruitment activities;
- release the admissions officer from time-consuming clerical activities;

- develop more comprehensive descriptions of pre-applicants and applicants for use in recruitment selection;
- sort applications into homogeneous groups for evaluation;
- access the academic standing of an applicant relative to other applicants;
- relate the applicant's academic qualifications to the college's academic standards;
- determine the accuracy with which academic achievement in college can be forecast;
- minimize delays in collecting application data and in turnaround time from the completion of the application to notification of admissions and financial aid decisions;
- permit more effective communication between the admissions office and the various groups it serves;
- provide school and college counselors with information that will assist them in advising students;
- gain access to accurate and up-to-date management information for evaluating admissions policies and practices and provide a data bank of student characteristics for conducting longitudinal and comparative studies of the college, its students and its graduates.

**BASIC PRINCIPLE:** A computer is essential when large volumes of data are involved and demanding reporting schedules must be met. A properly designed information system, manual or computerized, can function efficiently if designed to 1) collect pertinent, accurate information; 2) insure cooperation between offices and departments; and 3) maintain files in compatible format for easy correlation.

**QUESTIONS:**

1. The effective functioning of an admissions office depends on the availability and accessibility of information about the pre-applicant and applicant populations. How does your data processing and information system (automated or manual) provide you with such data?
  
2. The beginning of an admissions system is the proper handling of source documents and assembling of application data. Which of the following clerical steps are performed by your office?
  - a. Collecting the source document for each applicant?



- b. **Initiating the applicant's admissions folder?**
  
  - c. **Filing the various source documents as they arrive?**
  
  - d. **Monitoring the folder of each applicant to determine if it is complete?**
  
  - e. **Sending requests for missing information to applicants or to their previous schools?**
3. **How does your admissions information system accomplish the following objectives:**
- a. **Reduce redundant clerical effort in assembling and transmitting student data?**
  
  - b. **Minimize delays in collecting data and in notifying applicants of the admissions decision?**
  
  - c. **Reduce the administrative costs of the admissions operation?**
  
  - d. **Release the professional staff from time-consuming clerical activities?**

- e. **Develop more comprehensive descriptions of students and the applicant population (including test profiled data)?**
  
  - f. **Provide more effective communication between the admissions office and the various segments of the public it serves?**
  
  - g. **Give access to accurate and up-to-date management information for evaluating admissions policies and practices?**
  
  - h. **Achieve more effective control over the admissions process?**
  
  - i. **Improve coordination between the admissions office and the offices providing complementary services?**
  
  - j. **Provide a data bank of student characteristics for conducting longitudinal and comparative studies of the college, its students, and its graduates?**
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- 4. **How does your student information system provide for the internal control of the admissions process?**
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- 5. **Identify the information below that is available in the admissions office when needed:**

- a. The number of students applying, admitted, rejected, withdrawing applications, or placed on the waiting list?
  
  - b. The number of applicants in each admission status category?
  
  - c. Reports for each application category, i.e., men, women, transfer, nonresidents, etc.?
6. Data generated by the admissions information system is helpful in making management decisions only if it can be made available in a useful form when the decision is to be made. From your present system, how do you determine
- a. The volume of applications you received this year compared to last?
  
  - b. The quality of this year's applicants by category compared to that of last year's applicants?
  
  - c. The ratio of applicants to vacancies in the individual units or schools within your college?
  
  - d. The proportion of applicants last year who decided to enroll?

- e. The accuracy with which you are able to predict the college achievement of a student based on test scores?

**PROJECTS:**

1. Identify a major component of your admissions processing which depends on the information system to provide required data. Outline how the required data would be obtained from initial request to final receipt of the data.
2. You have been assigned to do a comparative study on applications, students accepted and paid students over the past five years. Develop a proposal to retrieve the necessary information to complete this assignment.



## Computer Use and Support

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**BASIC PRINCIPLE:** A sound system of data management, records maintenance, word processing communications, mini- and microcomputers, statistical analysis and reports is essential to the admissions office. If such technology is employed, it should have oversight by the admissions user and should be accessed only by those who are technically and professionally trained.

**QUESTIONS:**

1. If the admissions office is supported by computer services, in what office or department is the control located for the development and use of computer services?
2. If data processing and word processing systems are used in the admissions process, who is responsible for the following:

- a. Promoting computer literacy and use?
  - b. Systematically reviewing computer use?
  - c. Developing, promoting, and maintaining computer support function, reports and research?
  - d. Adequately training and supervising staff in computer usage?
  - e. Accessing and insuring integrity of the data system?
3. Determine if there is sharing of computer competency with other administrative services within the college?
  4. What ongoing process is in place to promote in-service training, including written manuals to promote computer competency and literacy within the admissions office?
  5. If your admissions office has microcomputers available, how is their use for data processing, word processing, research and reporting supervised in the admissions office?

6. What security and protection procedures are in place for student admissions and financial aid data?
  
7. What procedures are in place to periodically review the information and correspondence library used in microcomputers for content and accuracy?

**PROJECTS:**

1. List those functions in your office that are supported by computer services or microcomputers and identify the people in the admissions office who are responsible for their development.
  
2. Make a list of the items in the library of the microcomputer and next to those items identify the source, timeliness and the last date of review.
  
3. Make a list of the research items and reports which are developed on the microcomputers. Identify the people who are responsible for using these reports and verifying of their accuracy.



## Reports, Research, and Evaluation

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**BASIC PRINCIPLE:** Reports are prepared to provide information. Many individuals, such as members of the governing board, the president and other chief administrators, the faculty, school personnel, and constituents are interested in the admissions program. The reports furnished by the admissions staff often provide the basis for major decisions. Therefore, they should be evaluated for accuracy, clarity, and logical organization of the data presented.

**BASIC PRINCIPLE:** An effective admissions program requires systematic, valid, and ongoing research and evaluation. Every admissions office may not be prepared to undertake extensive scientific studies, although each one should be able to make annual and comprehensive investigations of many aspects of its service and functions. The outcomes of research and evaluation should be a more realistic approach to problems, a more critical attitude, better understanding, and a more active desire to improve its admissions program.

**QUESTIONS:**

1. Which of the following reports does your office prepare and distribute?
  - a. Periodic reports which provide a record of accomplishments and activities of the admissions program?
  - b. Statistical reports which cover facts discovered through investigation and study?
  - c. Recommendation reports which reach a decision, advocate a policy or action, and present facts supporting the position stated?
  - d. Reports which highlight the special activities of the admissions staff?
  - e. Reports of pre-applicant and applicant activity?
2. Identify the characteristics listed below that describe the reports distributed by your office.

- a. **Accurate information and statistics.**
  
- b. **Arrangement, format, layout and makeup present a professional appearance and are readily understood.**
  
- c. **Brief and concise, containing only essential data.**
  
- d. **Reliable information that avoids erroneous impressions either by content or arrangement.**
  
3. **What mechanisms exist for admissions staff to communicate demographic trends, changing profiles of entering students, competitors' activities, and other pertinent data to faculty and staff?**
  
4. **What mechanisms exist for admissions staff to communicate demographic trends, changing profiles of entering students, and other pertinent data to secondary school officials?**
  
5. **What research and evaluation functions are an integral part of your admissions office?**
  
6. **How are follow-up and withdrawal studies used by your office as a means of evaluating the effectiveness of the admissions program?**



7. What procedures are in place for the periodic and systematic evaluation of all aspects of the total admissions program?
  
8. How are ideas for improvement of the admissions programs and office functions shared within the admissions office and encouraged from other related departments in the college?
  
9. If studies of the functions of the admissions office have been done either in a self-evaluation or with the guidance of consultants, how has your office implemented the recommendations?

**PROJECTS:**

1. List the reports distributed by your office and prioritize them in order of importance and value to the mission of the office.
  
2. Identify two or three reports not currently provided that should be prepared and distributed by your office. Identify obstacles that prevent the preparation.
  
3. List the reports received on a regular basis from other administrative offices that are necessary for the effective operation of your admissions office.
  
4. Name some recent changes that have been made in your admissions program as a result of research and evaluation.
  
5. Identify three areas of activity or problems in your office that should be researched and decide who should conduct the investigation.

# 9

## RELATED STUDENT SERVICES

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### Admissions and Financial Aid

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**BASIC PRINCIPLE:** In many colleges/universities, student financial aid is a separate function managed by a professional staff familiar with all of the technical aspects guiding its administration; however, the interrelationship of functions, resources, and objectives make coordination and integration essential between admission and financial aid.

**BASIC PRINCIPLE:** Because financial aid is the tool enabling so many students to attend college, a relationship develops between the student and the professionals in admissions and financial aid early in the admissions process. Consequently, the offices must share relevant and consistent information to assure a level of knowledge that will contribute to an effective admissions effort and successful yield.

**BASIC PRINCIPLE:** Colleges are encouraged to observe the guidelines printed in the joint statement of Principles of Good Practice by NACAC and AACRAO which relate to the policies governing aid distribution (see Appendix B). In colleges where admissions and financial aid functions are integrated, it is important that a systematic review of admissions acceptances and the awarding of aid be done in accordance with stated college philosophies and objectives and carried out in an ethical practice that considers the needs of the students as well as the objectives of the college.

**BASIC PRINCIPLE:** The admissions office should be involved in developing and implementing financial aid policies. Since the link between actual enrollment and mere interest in a college is often tied to available dollars, admissions counselors must be articulate in describing financial aid options and, when appropriate, must advocate on their campuses greater access to higher education.

**BASIC PRINCIPLE:** Admissions officers should know specifically what it costs to attend their college and be able to present these costs clearly.

**BASIC PRINCIPLE:** The admissions officer should have a broad knowledge of federal, state, and college aid programs as well as a general understanding of other available resources, including that which is based on achievement rather than need. As a rule, most colleges package financial aid awards by offering students combinations of grants, loans, and campus work opportunities. Consequently, students receive two or three different types of aid, each meeting a portion of their total need.

**BASIC PRINCIPLE:** All available financial aid resources (e.g., government grants, loans, family assets) are taken into account when meeting the calculated financial need of the individual student. Such resources represent the foundation of a college's budget for financial assistance. College objectives should be clearly stated for each financial aid program and administered accordingly. Information on how to apply for aid and how it is awarded should be forwarded to every student applicant upon request.

**BASIC PRINCIPLE:** Most financial aid programs base their awards on a student's need. Financial need is established in relation to the cost of the particular college and is calculated based on congressionally approved methodology. The family of a student is expected to make a maximum effort to assist the student with college expenses. Financial assistance from colleges and external sources should be viewed only as supplemental to the efforts of the family. Most colleges do not deny admission to a candidate on the basis of not having funds to meet financial need. Financial aid is used to enable admitted students to enroll and complete their degree objectives regardless of the limitations on their personal financial resources or their background.

**BASIC PRINCIPLE:** Only those authorized to do so by the financial aid office should make aid offers to students.

#### **QUESTIONS:**

1. What kind of coordination and integration exists between the admissions and financial aid programs?
  
2. Are admission decisions made independent of financial aid considerations?

3. How is your college's policy guiding the administration of financial aid articulated? Where are the policies written down and available for distribution?
4. Who takes responsibility for distributing information on financial aid to prospective students?
5. What kind of outreach do financial aid officers provide on and off campus about student aid policies and practices as part of recruitment?
6. Do students make non-refundable enrollment deposits before being notified of their financial aid status?
7. How does your college encourage/enable students and families to seek financial aid counseling before making the enrollment decision?
8. Beyond traditional types of financial aid, what other funding options are available?
9. Where is student employment housed?
10. What is the annual comprehensive fee to attend your college?
11. How does the administration of financial aid at your college relate to the college's institutional objectives?

12. What are all of the applicable deadlines for applying for financial aid?
13. Can you cite all the basic federal (and state where applicable) programs of aid available and the guidelines used in awarding such aid?
14. Does your college award its own financial resources to students?
15. Does your college have established policies for competitive scholarships and external awards? If so, what are they?
16. What are the explained policies governing the packaging of scholarship dollars at your college?
17. Does your college meet a student's total financial need (as defined by congressionally approved methodology)?
18. What is the process for renewing financial aid?
19. Is financial need the only factor considered in awarding aid at your college?
20. How is basic financial need calculated?
21. Is a request for financial aid a factor in admission?

22. How are admissions officers involved in consulting on financial aid practices and policies?
  
23. When is the admissions office consulted on the allocation of financial aid budget for new and continuing students?
  
24. Does your college offer merit scholarships based on academic performance, athletic prowess, special talent, or alumnae/i relationships?
  
25. Does your college offer preferentially packaged scholarships to any students?

**PROJECTS:**

1. Learn how the financial aid and the admissions functions are related at your college.
  
2. Find out what information obtained during the admissions process can be useful to the financial aid office, in what form it can be shared, and at what point in the process the information should be shared?
  
3. Cite the objectives of your college policies governing financial aid administration.
  
4. Meet with a financial aid officer to review how financial need is determined.
  
5. Review the financial aid policies that affect enrolled students at your college and discuss (with the chief admissions officer) your findings regarding recruitment and retention.

6. Specify the actual cost of attending your college for one academic year.
7. Outline the procedure for applying for aid at your college. Indicate any deadlines for application.
8. List the basic federal financial aid programs, and the criteria that must be met to qualify for each.
9. Meet with the financial aid officer or an assistant to discuss changes in programs from year to year.
10. Describe how a student's scholarship award changes (assuming continuing need) from freshman to junior year.
11. Describe how financial need is determined.
12. Explain what is meant by financial aid packaging at your college.
13. Investigate your college's policies regarding outside (external) scholarship awards.
14. What are the sources of financial aid at your college? How much money is contributed by federal/state sources vs. the college?



## Admissions and Orientation

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**BASIC PRINCIPLE:** All new students entering a college for the first time must be offered orientation services to the college. To become properly acquainted with the college before enrollment enhances retention and the students' success rates. The orientation assignment, whether part of the admissions office responsibilities or assigned to a separate office, should be given financial support to supplement fees generated from the student attending the orientation program.

### QUESTIONS:

1. Where is orientation housed administratively?
2. What are the goals of your college's orientation program?
3. How is your college's orientation program funded?
4. What activities take place during the orientation of new students on your campus?

### PROJECT:

1. Arrange an interview with the individual responsible for the formal orientation program at your college. Learn about the program and write a report summarizing the activities. If you see areas that could be improved, list the recommendations.





## Admissions and Records and Registration

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**BASIC PRINCIPLE:** The official educational record is maintained in the office responsible for records and registration. Additional responsibilities of the office commonly include the structure of the course schedule, the assignment of classrooms, the planning and execution of registration, the certification of student enrollment, the issuance of grade reports, the administration of academic regulations, the certification of the student eligibility to graduate, and the compilation and reports of statistical data about the college and its enrollment.

**BASIC PRINCIPLE:** The relationship between the admissions office and records and registration may be based primarily on the transfer of data from one to the other. Information captured by admissions usually begins a student's official record and is updated and maintained by the records office when a student enrolls. However, in some collegiate environments, registration itself may constitute admission, and hence, in the open enrollment process a student's official record may originate at the time of registration.

**BASIC PRINCIPLE:** As part of the application process, transfer students are required to submit official transcripts of all previous college work regardless of the number of courses taken or courses attended. Credit evaluations which provide specific information about transferable courses and credits should be included with an affirmative admissions decision. Transfer students rely on such information and every effort should be made to involve the admissions office in the development, implementation and review of credit evaluation policies on an annual basis regardless of which office routinely performs the transfer credit function.

### QUESTIONS:

1. Does your records and registration office provide an efficient and effective system for registering students into classes? How does the admissions effort contribute to an efficient and effective registration system?
2. How are the academic records of enrolled students made easily accessible to admissions when needed?

3. How comprehensive is the registration system information generated by the admissions office? Does it serve students effectively?
4. Can you describe how the admissions office integrates its data collection flow with the office responsible for records and registration?
5. In what way does the admissions office collaborate with records and registration to produce enrollment summaries? Is there an annual calendar by which the reporting of data about admissions and enrollment is collected?
6. Which office is responsible for the transfer credit evaluation and the posting of credit?

**PROJECTS:**

1. Meet with the registrar to learn about the services provided to students by the records and registration office.
2. Describe your college's registration process.
3. Find out in what ways the registrar interacts with admissions staff.
4. Describe the college's process by which students receive a report of their progress towards the degree.

5. Investigate how your college processes a student who submits some, but not all, previous course work.



## Admissions and Student Accounts/Bursar

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**BASIC PRINCIPLE:** The office responsible for billing and collecting student fees and tuition is one of the most important college offices because of its contact with every enrolled student. The admissions office should be familiar with the substance of these contacts in order to determine what effect, if any, that office has on the *retention* of admitted students as well as the attitudes of prospective families. The office which handles student accounts is often known as the bursar's.

### QUESTIONS:

1. Who is the individual responsible for notifying the admissions office of changes in fees or fee policies?
2. When is the admissions office consulted about the costs or fees associated with application to the college?
3. How do the offices of the bursar, financial aid, and admissions work together collaboratively to serve entering students?
4. Does the bursar determine residency status at your college?
5. Are the residency requirements of your college in agreement with all current legal interpretations relating to residency requirements?

**PROJECTS:**

1. Meet with the bursar or one of the students accounts staff to learn how billing is handled (i.e., cycles, payment plans, letters to families).
2. Find out if your college requires an advanced deposit, how much it is and under what circumstances it may be waived.
3. Learn about procedures for setting fee policies. Does your campus derive direct benefit from application fees? From tuition fees? Where does the money go?
4. Explore what alternative financing opportunities (e.g., piepayment programs, special loan programs) are offered by your college office.



## Admissions and Academic Advising

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**BASIC PRINCIPLE:** The purpose of the academic advising service is to assist students in clarifying their educational objectives and planning their academic program. This service should be conducted by faculty members, counselors, and educational specialists. The academic advising service is a cohesive function drawing together all available resources to help students achieve the objectives of higher education. Attention should be given to academic skills development services.

**BASIC PRINCIPLE:** Academic assistance and support services must promote student development by encouraging intellectual growth, positive and realistic self-appraisal, clarification of values, and the capacity to appreciate cultural and aesthetic differences. These services can also help develop leadership skills and the ability to work interdependently and independently, the ability to relate meaningfully to others, and the ability to develop individual problem-solving skills.

**BASIC PRINCIPLE:** Individuals involved in academic advising, assistance and support services must have a clear understanding of academic policies, procedures, curricula, and degree requirements to help students clarify and attain their educational objectives. These professionals should also be trained in the techniques of counseling and human growth and development.

**QUESTIONS:**

1. What information is included in the training manual for academic advisors?
2. What kind of training do academic advisors, academic assistance and support services personnel receive concerning academic policies/procedures and degree/program requirements?
3. Is there a difference between advising and counseling? If yes, explain.
4. What kind of familiarity with, and access to, computer information do advisors have to help in the academic advising process?
5. Are advisors sensitive to the needs of culturally diverse and special student populations? How can this type of awareness be developed?
6. How do the academic assistance and support services on your campus help students deal with those academic, personal, physical, cultural, or emotional problems that might act as barriers to attaining their academic goals?
7. How are advising personnel made aware of curricular and academic policy changes?

8. During the advising process, how are students made aware of your college's policy regarding the transferability of credit from other colleges?
9. Are computerized degree audits available to students?
10. What impact do special admissions programs have on academic advising?
11. How is information regarding the available academic advising services communicated to prospective students?
12. What human and college resources do advisors routinely use as referrals in directing students to appropriate sources of help?
13. What role should peer advisors/counselors play in the advising process?
14. What type of student leadership development programs exists on campus, and is it available to all students?
15. How do students on your campus develop the skills of values clarification, realistic appraisal of their strengths and weaknesses, and individual problem-solving?

**PROJECTS:**

1. Describe the academic advising service at your college in terms of its

- a. **availability to all students,**
  
  - b. **coordination and integration with the admissions program,**
  
  - c. **staffing by competent and knowledgeable individuals, and**
  
  - d. **involvement with academic remediation activities available to those students who need special assistance.**
- 
2. **List possible subjects for discussion in an academic advising session.**
  
  3. **Using the college catalog and schedule of classes, identify six important items a student must know to select courses and register.**
  
  4. **Find out what the academic advising and degree requirements are for your college's different academic units.**
  
  5. **Become familiar with your college's advising/training manuals, advising forms, checklists, and degree audit printouts.**



## Admissions and Testing and Assessment Service

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**BASIC PRINCIPLE:** A well-planned and administered testing service complements an admissions program. The extent of the testing program depends on the educational mission and goals of the college. For most purposes in admissions, a group of standard tests, combined in a test battery, is more useful than a few special tests. A combination of several tests permits a broad appraisal and takes advantage of the research and evaluation with respect to these instruments. Provisions must be made for the integration of the admissions program with the testing service, since tests can provide systematic and objective information about students. Care should be taken to avoid duplication and unnecessary testing.

### QUESTIONS:

1. Is the testing service at your college
  - a. regarded as a necessary college service?
  - b. coordinated and integrated with the admissions program?
  - c. administered by a qualified individual?
2. What tests are required of admitted students?
3. Are members of the admissions committee, admissions staff, and advising service aware of score variations that might be exhibited by ethnically diverse and



special student populations? How can these variations be taken into consideration during the admissions placement and scholarship awarding process?

4. How is the interpretation of test results used in conjunction with academic advising and counseling activities?
5. What efforts are made to advise prospective and currently enrolled students of the services available at the testing service?
6. What kinds of institutional or non-standardized tests might be given by a campus testing service? How might they affect the admissions process?
7. Does the testing service provide testing for career planning or personal interest purposes?
8. What legal restrictions apply to the use of tests?

#### **PROJECTS:**

1. Review the types of attitude and interest surveys/inventories used in career counseling and determine how they might affect the advising or counseling process.
2. Determine what tests are available and how students are referred to the testing service.

# GLOSSARY OF TERMS

## GUIDE FOR ADMISSIONS

### PROFESSIONALS

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- admission criteria** - the clearly defined and systematically validated elements used to select students, e.g., high school record, letters of recommendation, course requirements, test scores.
- admissions committee** - the group of individuals involved in reviewing applicant credentials and, in some cases, formulating admissions policy.
- admissions information system** - the procedures, methodologies, organization, software and hardware elements needed to collect and retrieve selected data for an admissions operation.
- admissions policy** - guides for establishing appropriate admission criteria for making selection decisions.
- affirmative action** - the practice of making every effort to consider an inclusive group of candidates for positions of employment or enrollment or in other selected or appointed positions.
- articulation** - the process of coordinating enrollment patterns between colleges/universities. Traditionally refers to transfer of students from two-year to four-year colleges and more recently involves double degree programs and summer internships. May also refer to arrangements between high schools and colleges or exchanges of faculty among schools and colleges.
- Buckley Amendment** - provides students and families with the right to privacy relating to academic records. Individuals must have access to records and are protected against the dissemination of records without authorization. Students (and parents of minors) have the right to view all documents including letters of recommendation which students have not waived the right to view.
- candidate's common reply date** - a generally accepted practice which allows candidates for admission to respond to offers of admission until May 1. Refunds of tuition deposits submitted before May 1 should be refundable until May 1 if requested by that date.
- chief admissions officer** - the dean of admissions, director of admissions or that person designated as primarily responsible for admissions functions.
- class profile** - a demographic and academic description of the characteristics of a selected class (or of a graduating high school or college class) including such data as numbers of applicants (graduates), acceptances, enrollees; description of academic qualifications (distributions by rank, grade point average, test scores), geographic origins, etc.
- college/university** - any postsecondary institution of higher learning.
- deferred admission** - the practice of allowing a student to begin studies one or more semesters later than intended. Students applying for early decision may also be "deferred" for later consideration with the full applicant pool.
- demographic data** - scientific and social statistics based upon population statistics and socioeconomic and educational characteristics and behavioral patterns. Reflect ethnic and racial proportions and patterns of participation, i.e., historical rates of attendance.
- early action** - the practice of notifying students who apply by a certain date of admissions decisions by a given date without requiring a commitment from the student to attend.

- early admissions** - practice followed by some colleges/universities allowing students to enter college prior to high school graduation.
- early decision** - the practice by which a student makes an early application to a college considered to be his or her first choice and upon acceptance is committed to attending that college, withdrawing applications at other colleges or notifying the first choice college of the intent not to enroll.
- enrollment management** - the practice of coordinating activities related to successful recruitment, enrollment and retention of students.
- enrollment management team** - those individuals comprising the formal or informal group working to meet enrollment management objectives.
- enrollment planning** - the practice of reviewing and analyzing data to determine appropriate enrollment levels at a college.
- enrollment projection** - the practice of analyzing enrollment trends, current and future demographic information, and college mission and resources and determining anticipated enrollment levels.
- ethics** - a system of moral principles.
- family contribution** - the amount determined by the needs analysis process that colleges will expect a family to be able to pay toward college.
- financial aid package** - the combination of grants, loans and work awarded to a student to use for college expenses.
- financial need** - the amount of money determined to be the difference between the cost of attendance and the family contribution.
- g.p.a.** - grade point average or high school or college academic average.
- goal** - a major variable that the college will emphasize, such as profitability, enrollment, reputation, market share.
- governing board of control** - the decision-making body (e.g., board of trustees, college council, county executive board) which directs college operations through authorizations of revenue collection and expenditures by program.
- inquiry system (tracking system)** - the process through which prospective students are identified and communicated with during the recruitment process.
- institutional mission** - the basic purpose of a college; that which it is trying to accomplish.
- marketing plan** - the administrative activities designed to promote the college to specific constituencies. A marketing plan for students might include a combination of publications, a video, one-on-one contacts, alumni visits, direct mail, advertising, on-campus visitation programs, etc.
- merit-based aid** - campus-based aid awarded to students based upon merit criteria, i.e., academic achievement, special talent.
- need-based aid** - aid awarded to students to meet their demonstrated financial need.
- needs analysis** - the process of determining a student's (or student and parents') ability to contribute monies for college. Two primary documents used in needs analysis are the Financial Aid Form (FAF) and the Family Financial Statement (FFS). A free form is also available for applying for federal aid. The needs analysis process takes into account family income, assets and other factors affecting the ability to pay.
- nondiscrimination statement** - a statement defining the college's compliance with legal statutes against discrimination. Most colleges (all colleges receiving federal aid) are required to publish such a statement in official publications.  
Example: University X does not discriminate in employment or enrollment against any individual because of age, race, creed, color, national origin, sex, religion, sexual orientation, disability or veteran's status.
- nontraditional students** - generally students who have been out of high school for some time and are beginning (or returning to) college study; occasionally groups of students historically bypassed in higher education, i.e., members of racial/ethnic groups, or women in certain disciplines (engineering), or men in certain disciplines (nursing).
- objective** - a goal of the college which is made specific with respect to magnitude, time, and person(s) or position(s) responsible.
- open admission** - the policy of a college to accept all students who have met certain prerequisites such as high school graduation, regardless of level of performance.
- orientation** - the program administered by the college to introduce enrolling students to the college and assist them in learning how to make use of available campus resources and services.

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## GLOSSARY OF TERMS

- performance program** - a written document describing job responsibilities and defining the basis upon which job performance will be measured.
- procedure** - a particular course of action for carrying out policy.
- professional development** - formal and informal training and education, both on and off campus; involvement in professional associations and other activities which further an individual's knowledge and experience in the profession.
- rank** - the position of a student in his or her graduating class; weighted ranks refer to ranks that are computed by giving extra points for honors, Advanced Placement or other advanced programs.
- re-admission** - the practice of admitting students to a college they previously attended.
- recruitment** - the act of providing information and service to prospective applicants and encouraging them to apply for admission.
- registration** - the procedure by which students are assigned to classes. This includes approval of courses to be taken by the student, organization of class sections and assessment and collection of fees.
- retention** - the persistence of students at a college.
- retention programming** - activities that are intended to improve the persistence of students; generally includes tutoring, counseling, and other support services. Particular attention is paid to monitoring academic progress, campus climate and financial aid issues. Retention, similar to enrollment management, is a campus-wide concern.
- rolling admission** - the practice of notifying applicants of admissions decisions as soon as all credentials have been received and reviewed.
- satisfactory academic progress** - the status of a student, specifically that he/she is in good academic standing based upon grade point average and courses completed.
- Section 504** - A section of Education Law referring to the protection of the rights of handicapped individuals with respect to the attainment of educational services. Colleges and universities must provide reasonable accommodation and access to all educational programs and facilities to all individuals capable of benefitting from such service.
- special talent admission** - the selection of candidates for admission based upon criteria related to extraordinary achievement or capability in a certain area, e.g., music performance, athletics, community service, leadership. Conformity with regularly defined admission criteria is not usually required.
- standardized test** - often included as a criterion for the selection of candidates, a standardized test is a widely-administered exam intended to measure a specific achievement, competency or aptitude. Common undergraduate admissions tests include the Scholastic Aptitude Test (SAT), Achievement Tests (ACH), the American College Test (ACT), and the Test of English as a Foreign Language (TOEFL).
- Statement of Principles of Good Practice** - maintained and monitored by the National Association of College Admission Counselors (and endorsed by the American Association of Collegiate Registrars and Admissions Officers, the College Board, ACT and other educational institutions), this statement defines the generally accepted practices related to professional activities involved in the college admission process.
- strategic planning** - the process of defining a college's mission.
- student budget** - total costs for attending a college, used as the basis for awarding financial aid.
- support staff** - generally the clerical and secretarial staff positions supporting administrative functions.
- target population (or audience)** - a specific group to which a communication or marketing program is directed, e.g., parents, counselors, multicultural students.
- transfer credit evaluation** - determination of the amount of credit earned at one college that will be credited toward work at another college.
- transfer student** - a student who has earned college-level credit after high school graduation and is seeking admission to another college.
- tuition deposit** - a fee paid by an admitted student to reserve a space in the class at a college or university.
- yield rate** - the percent of students who accept a college's offer of admission; can also refer to the percent of student prospects who file an application.

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# APPENDIX A. COMPETENCIES FOR ADMISSIONS AND RECORDS PROFESSIONALS

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The following guide lists skills and competencies admissions and records professional ideally should have for entry into or advancement in the profession. Each **COMPETENCY AREA** includes **BASIC SKILLS** representing the entry-level knowledge base judged necessary to predict success in the field, **ADVANCEMENT SKILLS** listing those necessary to move up the career ladder, and **RESOURCES** that can provide the necessary skill development for the **COMPETENCY AREA**.



## *Competency Area: Personal Characteristics*

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### **BASIC SKILLS**

- Demonstrates well developed sense of integrity.
- Demonstrates well developed sense of humor.
- Demonstrates ability to deal with ambiguity.
- Demonstrates attention to detail and accuracy.

### **ADVANCEMENT SKILLS**

- Demonstrates knowledge of and commitment to ethical standards of the profession.
- Demonstrates ability to think creatively and innovatively.
- Demonstrates ability to be proactive, not reactive.

### **RESOURCES FOR SKILLS DEVELOPMENT**

- Appropriate readings
- Management course(s)
- Experience/on-the-job training
- Workshops
- Appropriate AACRAO publications



## Competency Area: Oral Communication

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### **BASIC SKILLS**

- Demonstrates ability to convey information in well organized, logical, and succinct fashion.
- Demonstrates ability to speak positively to stimulate interest.
- Demonstrates ability to organize information orally.

### **ADVANCEMENT SKILLS**

- Demonstrates ability to speak in a formal or informal setting.
- Demonstrates ability to speak persuasively.
- Demonstrates ability to *read* an audience and adjust style and content of remarks.
- Demonstrates ability to speak well extemporaneously.
- Demonstrates ability to speak on diverse topics: institution specific (college night presentation, registration instructions) or generic (transition from high school to college, transcript fraud).

### **RESOURCES FOR SKILLS DEVELOPMENT**

- Public speaking course(s)
  - Appropriate readings
  - Inservice/on-the-job training
  - Workshops (AACRAO/commercial)
  - Appropriate AACRAO publications
- 



## Competency Area: Interpersonal Communications

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### **BASIC SKILLS**

- Demonstrates ability to listen attentively and perceptively.
- Demonstrates awareness of cross-cultural communication needs.
- Demonstrates ability to receive and follow directives.
- Demonstrates ability to respond positively to constructive criticism and performance feedback.
- Demonstrates ability to present a positive personal appearance.
- Demonstrates ability to handle oneself well in social settings.

### **ADVANCEMENT SKILLS**

- Demonstrates ability to *read* nonverbals.
- Demonstrates ability to confront in a positive manner.
- Demonstrates knowledge of common work styles (those who need to be stroked to perform better, those who are loners, etc).
- Demonstrates knowledge of personality types (authoritarian, dominant, submissive, etc.).
- Demonstrates ability to work in a small group/team situation.
- Demonstrates ability to utilize conflict resolution techniques.

### **RESOURCES FOR SKILL DEVELOPMENT**

- Interpersonal communication course(s)
- Appropriate readings
- Inservice training
- Workshops (AACRAO, private trainers)
- Appropriate AACRAO publications
- Projects that require working with others as a team



## Competency Area: Written Communication

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### **BASIC SKILLS**

- Demonstrates solid grounding in English grammar.
- Demonstrates ability to organize ideas on paper in a logical, succinct fashion.
- Demonstrates understanding of different styles, as appropriate.
- Demonstrates ability to think analytically.
- Demonstrates ability to be a critical thinker.
- Demonstrates ability to write business letters and reports.

### **ADVANCEMENT SKILLS**

- Demonstrates ability to write advertising copy designed to accomplish specific goals.
- Demonstrates ability to write formal proposals, research articles.
- Demonstrates ability to write for professional publication.
- Demonstrates ability to communicate steps, procedures in written form so that others may understand and learn from having read them.

### **RESOURCES FOR SKILLS DEVELOPMENT**

- English composition course(s)
  - Technical writing course(s)
  - Workshops (professional organization or commercially sponsored)
  - Appropriate readings
  - Appropriate AACRAO publications
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## Competency Area: Employee Relations

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### **BASIC SKILLS**

- Demonstrates ability to work with diverse kinds of individuals.
- Demonstrates ability to work as a team member.

### **ADVANCEMENT SKILLS**

- Demonstrates commitment to service orientation for students, faculty, staff, and entire university community.
- Demonstrates knowledge of interviewing techniques.
- Demonstrates knowledge of search process (what to look for, how to find it).
- Demonstrates knowledge of supervision techniques.
- Demonstrates knowledge of collective bargaining strategies, techniques.
- Demonstrates ability to provide constructive feedback to employees.
- Demonstrates ability to handle evaluation sessions in a positive manner.
- Demonstrates ability to handle confrontation.
- Demonstrates ability to discipline appropriately.
- Demonstrates ability to motivate.
- Demonstrates understanding of the use of positive recognition as a motivator.
- Demonstrates ability to foster pride in and loyalty to institution or organization.
- Demonstrates knowledge of and ability to use team building techniques.
- Demonstrates knowledge of affirmative action policies (institutional and/or governmental).
- Demonstrates knowledge of institutional personnel policies.
- Demonstrates ability to develop job descriptions, accountabilities, performance measures.
- Demonstrates ability to find and/or create and utilize staff development and training programs.

### **RESOURCES FOR SKILLS DEVELOPMENT**

- Human resources course(s)
- Graduate programs
- Inservice/on-the-job training
- Workshops/conferences (institutional, commercial, professional)
- Appropriate readings
- Appropriate AACRAO publications
- Industrial psychology/organizational behavior courses





## Competency Area: Administration

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### **BASIC SKILLS**

- Demonstrates ability to set effective, attainable goals.
- Demonstrates ability to prioritize responsibilities.
- Demonstrates ability to plan, organize, execute, and evaluate programs/projects.
- Demonstrates ability to develop objectives and strategies.
- Demonstrates understanding of administrative styles.
- Demonstrates ability to conduct a meeting.
- Demonstrates ability to develop an agenda.
- Demonstrates ability to use time effectively.

### **ADVANCEMENT SKILLS**

- Demonstrates knowledge of the history and philosophy of higher education.
- Demonstrates ability to display positive leadership.
- Demonstrates knowledge of legal issues facing higher education.
- Demonstrates understanding of formal and informal political environments of division and institution.
- Demonstrates understanding of organizational theory, communication, and behavior.
- Demonstrates ability to motivate staff, volunteers, faculty, and administration to accomplish goals.
- Demonstrates ability to assess human, fiscal, and programmatic resource needs for administrative unit(s), justify, and obtain same from appropriate sources.
- Demonstrates understanding of enrollment management concept of administration for admissions and records.
- Demonstrates ability to engage in strategic planning.
- Demonstrates understanding of time and stress management techniques.
- Demonstrates ability to assess strengths and weaknesses of staff members and assign tasks/responsibilities accordingly.

### **RESOURCES FOR SKILLS DEVELOPMENT**

- Graduate level management/administration/organizational behavior courses
- MBA/Educational Administration Master's or Doctorate
- Inservice/on-the-job training
- Workshops
- Conferences/institutes
- Appropriate readings
- Appropriate AACRAO publications





## Competency Area: Research

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### **BASIC SKILLS**

- Demonstrates computational ability.
- Demonstrates knowledge of statistics.
- Demonstrates familiarity with existing literature in the field, as well as other research resources.
- Demonstrates computer literacy.

### **ADVANCEMENT SKILLS**

- Demonstrates ability to assess problem or need.
- Demonstrates ability to develop research questions.
- Demonstrates ability to design an instrument.
- Demonstrates ability to draw a sample.
- Demonstrates knowledge of appropriate data collection techniques.
- Demonstrates ability to analyze data and draw conclusions.
- Demonstrates ability to analyze demographic and enrollment trends to forecast enrollments.
- Demonstrates ability to interpret research results to others.

### **RESOURCES FOR SKILLS DEVELOPMENT**

- Graduate programs
  - Research design course(s)
  - Statistics course(s)
  - Inservice/on-the-job training
  - Conferences/workshops
  - Other campus offices
  - Appropriate readings
  - Appropriate AACRAO publications
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## Competency Area: Technology

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### **BASIC SKILLS**

- Demonstrates knowledge of PC operation and application.
- Demonstrates knowledge of the basic computer environment.

### **ADVANCEMENT SKILLS**

- Demonstrates knowledge of computer hardware.
- Demonstrates basic knowledge of computer software logic and programming structure.
- Demonstrates programming ability/understanding.
- Demonstrates ability to identify database needs.
- Demonstrates ability to direct development of database regardless of whether the work is done in-house or through a vendor (SCT, IA, etc.).
- Demonstrates knowledge of and ability to select vendors for student databases, registration systems, touchtone systems, etc.
- Demonstrates ability to supervise development and implementation of computerized systems, such as an on-line tracking system, office computer networks, classroom scheduling, and facilities management. Demonstrates ability to write requests for proposal.
- Demonstrates ability to understand and interpret technical terminology.

### **RESOURCES FOR SKILLS DEVELOPMENT**

- Computer science classes
- Programming course(s)
- Appropriate readings
- Appropriate AACRAO publications
- Inservice/on-the-job training
- Conferences/institutes
- Vendor workshops
- Inter-institutional networking



## Competency Area: Business Practices

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### **BASIC SKILLS**

Demonstrates understanding of basic accounting principles.

Demonstrates computational ability.

Demonstrates computer literacy.

### **ADVANCEMENT SKILLS**

Demonstrates understanding of budget development and management.

Demonstrates ability to do cost and productivity analysis of recruitment efforts, registration systems, etc.

Demonstrates knowledge of institutional business office policies and practices.

Demonstrates ability to obtain goods and services in cost effective manner.

Demonstrates ability to write funding proposals.

Demonstrates ability to write requests for proposal.

### **RESOURCES FOR SKILLS DEVELOPMENT**

MBA program

Accounting/finance courses

Inservice/on-the-job training

Workshops (institutional, commercial, professional)

Appropriate readings

Appropriate AACRAO publications

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## Competency Area: Enrollment Management

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### **BASIC SKILLS**

Demonstrates understanding of marketing terms/concepts: positioning, segmenting the market, target audiences, primary/secondary/tertiary markets, etc.

Demonstrates ability to apply basic marketing concepts in developing recruitment strategies.

Demonstrates understanding of retention terms/concepts: graduation rate, attrition, persistence, at risk students, etc.

### **ADVANCEMENT SKILLS**

Demonstrates ability to foster a campus-wide commitment to Enrollment Management.

Demonstrates ability to understand, interpret, and influence academic policies and practices.

Demonstrates ability to explain and forecast enrollment trends.

Demonstrates ability to conduct market research and develop a market plan.

Demonstrates understanding of institutional pricing and financial aid.

Demonstrates ability to create and communicate an institutional image.

Demonstrates ability to determine compatibility between institutional image and identity.

Demonstrates ability to utilize techniques for assessing image and identity (focus groups, etc.).

Demonstrates ability to utilize marketing/retention approaches and systems to include telemarketing, direct mail, freshman year experience, etc.

Demonstrates ability to develop retention studies and reports.

### **RESOURCES FOR SKILLS DEVELOPMENT**

Graduate programs

Marketing course(s)

Forecasting course(s)

Appropriate readings

Inservice/on-the-job training

Workshops/conferences/institutes (commercial, professional)

Appropriate AACRAO publications

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## Competency Area: Publications

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### **BASIC SKILLS**

- Demonstrates effective proofreading.
- Demonstrates ability to do simple editing of copy.
- Demonstrates sense of proportion and design.
- Demonstrates ability to write effective copy.

### **ADVANCEMENT SKILLS**

- Demonstrates ability to design concepts.
- Demonstrates ability to develop thematic approaches to publications (families of publications).
- Demonstrates ability to do visual imaging.
- Demonstrates ability to develop and/or oversee advertising campaigns.
- Demonstrates knowledge of ink colors, paper stock, print styles.
- Demonstrates ability to develop complex/technical publications (catalogs, schedules, viewbooks) as well as simpler ones (brochures, invitations, programs, forms, applications).
- Demonstrates ability to select and work with advertising/public relations agencies.
- Demonstrates knowledge of concepts and use of desktop publishing.

### **RESOURCES FOR SKILLS DEVELOPMENT**

- Design course(s)
  - Inservice/on-the-job training
  - Workshops/conferences/institutes (commercial, professional)
  - Appropriate readings
  - Appropriate AACRAO publications
- 



## Competency Area: Counseling

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### **BASIC SKILLS**

- Demonstrates interest in and ability to work well with people.
- Demonstrates ability to listen.
- Demonstrates understanding of psychology.
- Demonstrates ability to work with diverse groups of people.

### **ADVANCEMENT SKILLS**

- Demonstrates knowledge of and ability to use counseling techniques.
- Demonstrates ability to meet the needs of special emphasis students (minority, handicapped, academically talented, at risk, international, etc.).
- Demonstrates knowledge of student development theory.
- Demonstrates knowledge of academic advising approaches.

### **RESOURCES FOR SKILLS DEVELOPMENT**

- Graduate programs in counseling, student personnel areas.
- Workshops/conferences.
- Inservice/on-the-job training.
- Appropriate readings
- Appropriate AACRAO publications



## Competency Area: Other Publics

### BASIC SKILLS

Demonstrates understanding of the interrelatedness of areas in higher education, both on and off campus.  
Demonstrates ability to be sensitive to differences in philosophy and approach of different offices to the same tasks.

### ADVANCEMENT SKILLS

Demonstrates knowledge of and ability to work cooperatively with other institutional areas/divisions (Development, Financial Aid, Legislative Affairs, Alumni Relations, Orientation, Student Activities, Academic Advising, Athletics, Business Office, Departmental offices, Deans' offices).  
Demonstrates sensitivity to and ability to work well with outside publics (staff of governmental agencies; high school counselors, administrators, faculty; other higher education institutions; the general public).  
Demonstrates ability to provide a leadership role in representing admissions and records areas across campus.  
Demonstrates ability to network on and off campus.  
Demonstrates willingness to serve on division/institutional/professional committees/projects.  
Demonstrates ability to work effectively with the media.

### RESOURCES FOR SKILLS DEVELOPMENT

Some graduate programs  
Inservice/on-the-job training  
Workshops/conferences  
Appropriate readings  
Appropriate AACRAO publications



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# APPENDIX B.

## JOINT STATEMENT OF PRINCIPLES OF GOOD PRACTICE IN COLLEGE ADMISSION AND RECRUITMENT

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On September 18, 1990, the Board of Directors of ACE endorsed the revision of the 1979 Statement of Principles of Good Practice in College Admissions and Recruitment. The 1979 Statement was developed by the American Association of Collegiate Registrars and Admissions Officers (AACRAO), the College Board, the National Association of College Admission Counselors (NACAC), and the National Association of the Secondary School Principals (NASSP) and endorsed by ACE. A revision of the Statement by NACAC in 1989 has subsequently been endorsed by AACRAO, NASSP, the College Board, the ACE Advisory Committee on Self-Regulation Initiatives and the ACE Board of Directors. The guidelines are intended to assist secondary schools and postsecondary institutions in developing voluntary standards of ethical conduct in areas of student admission and recruitment.



## Joint Statement of Principles of Good Practice in College Admission and Recruitment

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The importance of ethical practices in the admission process for all institutions has long been recognized by those professionally involved in counseling and the college admission process. In 1979, a statement based on the code of ethics of the National Association of College Admission Counselors was jointly approved or endorsed by The College Board, the American Council on Education, the American Association of Collegiate Registrars and Admissions Officers, and the National Association of Secondary School Principals.

The Statement of Principles of Good Practice is reviewed annually and revised by NACAC to reflect emerging concerns for ethical admission practices and policies. In 1989-90, a revised edition of the Statement was again approved by the American Association of Collegiate Registrars and Admissions Officers, National Association of College Admission Counselors, the American Council on Education, and the National Association of Secondary School Principals.

They support, therefore, the following Statement of Principles of Good Practice in the College Admission Process.

### **I. ADMISSION PROMOTION AND RECRUITMENT**

#### **A. Colleges and Universities agree that they will:**

1. Ensure that admission counselors are viewed as professional members of their institutions' staffs. As professionals, their compensation shall take the form of a fixed salary rather than commissions or bonuses based on the number of students recruited.
2. Be responsible for the development of publications, written communications, and presentations, i.e., college nights, college days, and college fairs, used for their institution's promotional and recruitment activity. They will:
  - a) State clearly and precisely the requirements for secondary school preparation, admission tests, and transfer student admission.
  - b) Include a current and accurate admission calendar. If the institution offers special admission options such as early admission, early action, early decision, early notification, or waiting list, the publication should define these programs and state deadline dates, notification dates, required deposits, refund policies, and the date when the candidates must reply. If students are placed on wait lists or alternate lists, the letter which notifies the students of the placement should provide past history which describes the number of students placed on the wait lists and the number offered admission. Finally, if summer admission or mid-year admission is available, students should be made aware of the possibility in official communication from the institutions.
  - c) Give precise information about costs, opportunities, and requirements for all types of financial aid, and state the general relationship between admission practices and policies and financial aid practices and policies.
  - d) Describe in detail any special programs, including overseas study, credit by examination, or advanced placement.
  - e) Include pictures and descriptions of the campus and community which are current and realistic.
  - f) Provide accurate information about the opportunities/selection for institutional housing, deadline dates for housing deposits, housing deposit refunds, and describe policies for renewal availability of such institutional housing.

3. Exercise appropriate responsibility for all people whom the institution involves in admission, promotional, and recruitment activities (including their alumni, coaches, students, faculty, and other institutional representatives) and educate them about the principles outlined in this Statement. Colleges and universities which engage the services of admission management or consulting firms shall be responsible for assuring that such firms adhere to this Statement.
  4. Speak forthrightly, accurately, and comprehensively in presenting their institutions to counseling personnel, prospective students, and their families. They will:
    - a) State clearly the admission requirements of their institutions, and inform students and counselors about changed admission requirements so that candidates will not be adversely affected in the admission process.
    - b) State clearly all deadlines for application, notification, housing, and candidates' reply requirements for both admission and financial aid.
    - c) Furnish data describing the currently enrolled freshman class. Describe in published profiles all members of the enrolling freshman class. Subgroups within the profile may be presented separately because of their unique character or special circumstances.
    - d) Not use disparaging comparisons of secondary or postsecondary institutions.
    - e) Provide accurate information about the use/role of standardized testing in their institutions' admission process.
  5. Not use unprofessional promotional tactics by admission counselors and other institutional representatives. They will:
    - a) Not contract with secondary school personnel for remuneration for referred students.
    - b) Not contract with placement services which require a fee from the institution for each student enrolled.
    - c) Not encourage students to transfer if they have shown no interest in doing so.
    - d) Not compromise the goals and principles of this Statement.
  6. Refrain from recruiting students who are enrolled, registered, or have declared their intent or submitted contractual deposit with other institutions unless the students initiate inquiries themselves or unless cooperation is sought from institutions which provide transfer programs.
  7. Understand the nature and intent of all admission referral services utilized by their institutions (including their alumni, coaches, students, faculty, and other institutional representatives) and seek to ensure the validity/professional competency of such services.
- B. Secondary Schools agree that they will:**
1. Provide a program of counseling which introduces a broad range of postsecondary opportunities to students.
  2. Encourage students and their families to take the initiative in learning about colleges and universities.
  3. Invite college and university representatives to assist in counseling candidates and their families about college opportunities.
  4. Not use disparaging comparisons of secondary or postsecondary institutions.
  5. Establish a policy with respect to secondary school representatives for the release of students' names. Any policy which authorizes the release of students' names should provide that the release be made only with the students' permission consistent with state law and local regulations. That permission may be a general consent to any release of the students' names. Secondary school representatives shall, in releasing students' names, be sensitive to the students' academic, athletic, or other abilities.
  6. Refuse any reward or remuneration from a college, university, or private counseling service for placement of their school's students.
  7. Be responsible for all personnel who may become involved in counseling students on postsecondary options available and educate them about the principles in this Statement.
  8. Be responsible for compliance with state/federal regulations with respect to the students' rights to privacy.



9. Not guarantee specific college placement.
10. Give precise information about the opportunities and requirements for all types of financial aid.

## **II. ADMISSION PROCEDURES**

### **A. Colleges and Universities agree that they will:**

1. Accept full responsibility for admission decisions and for proper notification of those decisions to candidates and, when possible, to their secondary schools.
2. Receive information about candidates in confidence and respect completely, consistent with federal, state, or local regulations, the confidential nature of such data.
3. Notify high school personnel when the institution's admission selection committee includes students.
4. Not apply newly-revised requirements to the disadvantage of a candidate whose secondary school courses were established in accordance with earlier requirements.
5. Notify candidates as soon as possible if they are clearly inadmissible.
6. Admit candidates on the basis of academic and personal criteria rather than financial need.
7. Not require candidates or the secondary schools to indicate the order of the candidates' college or university preferences, except under early decision plans.
8. Not make offers of admission to students who have not submitted admission applications.
9. Permit candidates to choose, without penalty, among offers of admission and financial aid until they have heard from all the colleges and universities to which they have applied, or until May 1, whichever is earlier. Both need-based and merit-based awards are covered by this principle. Requests by colleges concerning on-campus student housing deposits are also covered by this principle.
10. Ensure that a waiting list, if necessary, be of reasonable length and be maintained for a reasonable period of time.
11. State clearly the admission procedures for transfer students by informing candidates of deadlines, documents required, courses accepted, and course equivalency and other relevant policies.
12. Inform students and counselors about new or changed requirements which may adversely affect candidates who have met all required deadlines, deposits, and commitments according to the students' original notification from the institution.
13. Exercise their responsibility to the entire educational community.
14. Accept, for the purposes of documenting student academic records, only official transcripts in the admission or registration process which come directly from the counseling, guidance, or registrar's offices of the institution(s) the candidate attends or has attended or from other appropriate agencies.

### **B. Secondary Schools agree that they will:**

1. Provide, in a timely manner, for colleges and universities accurate, legible, and complete official transcripts for the school's candidates.
2. Provide colleges and universities with a description of the school's marking system which may include the rank in class and/or grade point average.
3. Provide a school profile which will:
  - a) Clearly describe special curricular opportunities (e.g., honors, Advanced Placement courses, seminars) and a comprehensive listing of all courses with an explanation of unusual abbreviations and any information required for proper understanding.
  - b) Be a true and accurate statement with regard to test score information for all students in the represented class cohort group who participated in college admission testing.
4. Provide accurate descriptions of the candidates' personal qualities which are relevant to the admission process.
5. Report any significant changes in candidates' academic status or qualifications between the time of recommendation and graduation, consistent with federal, state, or local regulations.
6. Urge candidates to understand and discharge their responsibilities in the admission process. Candidates will:



- a) Comply with requests for additional information in a timely manner.
- b) Respond to institutional deadlines and refrain from stockpiling acceptances.
- c) Refrain from submitting multiple deposits or making multiple commitments.
- d) Respond to institutional deadlines on housing reservations, financial aid, health records, and course prescheduling, where all or any of these are applicable.
7. Not reveal, unless authorized, candidates' college or university preferences.
8. Advise students and their families not to sign any contractual agreement with an institution without examining the provisions of the contract.
9. Exercise their responsibility to the entire educational community.
10. Counsel students and their families to file a reasonable number of applications.
11. Counsel students and their families to notify other institutions when they have accepted an admission offer.

### **III. STANDARDIZED COLLEGE ADMISSION TESTING**

Because test results can never be a precise measurement of human potential, all those involved in the college admission process commit themselves to practices that eliminate bias of any kind, provide equal access, and consider tests as only one measure in admission/counseling practices.

#### **A. Colleges and Universities agree that they will:**

1. Use test scores and related data discretely and for purposes that are appropriate and validated.
2. Provide prospective students with accurate and complete information about the use of test scores in the admission process.
3. Refrain from using minimum test scores as the sole criterion for admission, thereby denying certain students because of small differences in scores.
4. Use test scores in conjunction with other data such as school record, recommendations, and other relevant information in making decisions.
5. Encourage the use of all pertinent information, not just test scores, as appropriate measures of institutional rank or admission selectivity.
6. Conduct institutional research to inquire into the most appropriate use of tests for admission decisions.
7. Refrain from using tests, as they pertain to the admission of students and to the packaging of financial aid, to discriminate against students whose scores may reflect socio-economic status, race, gender, disabling conditions, and/or ethnic background.
8. Educate staff in understanding the concepts of test measurement, test interpretation, and test use so they may make informed admission decisions from the test data.
9. Counsel students to take only a reasonable number of tests and only those necessary for their postsecondary plans.
10. Maintain the confidentiality of test scores.
11. Publicize clearly policies relating to placement by tests, awarding of credit, and other policies based on test results.
12. Include in published profiles all members of the enrolling freshman class. Sub-groups within the profile may be presented separately because of their unique character or special circumstances. Clear explanations of who is included in the sub-group populations should be made.

#### **B. Secondary Schools agree that they will:**

1. Inform students about what tests they need for admission, where they may take them, and how to interpret the results in their own contexts.
2. Be sensitive to the limitations of standardized tests and counsel students with these limitations in mind.
3. Inform students about the use and validity of test scores, both for admission and as measures of potential and ability.

4. Counsel students and families on how test scores may be used in the admission process by colleges and universities.
5. Counsel students to take only a reasonable number of those tests necessary for their postsecondary plans, without regard to the impact the test results may have on the school profile report.
6. Seek to alleviate the anxiety associated with tests by counseling students carefully and by expressing concern for the whole student, not just the college placement facet.
7. Counsel students and families about data, other than test results, that may be submitted as part of the application process.
8. Counsel students about test preparation programs and inform them about alternative programs and/or approaches.
9. Release and report test scores only with students' consent.
10. Avoid comparing colleges/universities solely on the basis of test scores.
11. Avoid undue emphasis on test scores as a measure of students' potential and ability when representing students to colleges and universities.
12. Work with other school officials and other groups to keep test results confidential and in perspective.
13. Provide a school profile which will be a true and accurate statement with regard to the test score information for all students in the represented class cohort group who participated in college admission testing.

#### **IV. FINANCIAL AID**

Institutions are encouraged to support the principle of distributing financial aid funds on the basis of proven financial need. No-need scholarship funds should not in any way reduce the total amount of funds available to students with demonstrated need.

##### **A. Colleges and Universities agree that they will:**

1. Offer financial aid to candidates in the form of scholarships, grants, loans, or employment, either alone or in combination.
2. Strive, through their publications and communications, to provide students, families, and schools with factual information about their institutions' costs, aid opportunities, programs, and practices.
3. View financial aid from colleges, universities, and other sources as supplementary to the efforts of students' families when the students are not self-supporting.
4. Employ methods in determining the financial contribution of candidates' families, which assess ability to pay in a consistent and equitable manner, such as those developed by the College Scholarship Service, the American College Testing Program, and other needs analysis services.
5. State clearly to candidates for admission the total yearly cost of attending the institutions, and report to students seeking financial aid an estimate, after documentation, of the amount of aid which may be available to them.
6. Permit candidates to choose, without penalty, among offers of financial aid until they have heard from all the colleges and universities to which they have applied, or until May 1, whichever is earlier. Both need-based and merit-based awards are covered by this principle.
7. State clearly policies on renewal of financial aid.
8. Not publicly announce the amount of need-based aid awarded to candidates; however, amounts of no-need scholarship awards may be a matter of public record.
9. Not use financial need as a consideration in selecting students.
10. Notify accepted aid applicants of institutional financial aid decisions before the date by which a reply must be made to the offer of admission, assuming all forms are in on time.
11. Meet, to the extent possible within the institutions' capabilities, the full need of accepted students.
12. Make awards to students who apply for renewal of financial aid by reviewing their current financial circumstances and establishing the amount of aid needed.

13. Not make financial aid awards to students who have committed to attend other institutions unless the students initiate such inquiries.
14. Not make financial aid awards to students who have not submitted admission applications.
15. Refrain from withholding financial aid awards until the awards from the students' other college choices have been announced.
16. Refrain from changing the financial aid awards to match those of the students' other college choices.

**B. Secondary Schools agree that they will:**

1. Refrain, in public announcements, from giving the amounts of financial aid received by individual students; however, amounts of no-need scholarship awards may be a matter of public record.
2. Advise students who have been awarded financial aid by non-collegiate sources that they have the responsibility to notify the college of the type and amount of such outside aid.
3. Provide adequate opportunity within the school for all able students to receive special recognition for their accomplishments, thus making it unnecessary for colleges and universities to provide such honorary recognition through their financial aid programs.
4. Not guarantee financial aid or scholarship awards.

**V. ADVANCED STANDING STUDENTS AND THE AWARDING OF CREDIT**

**A. Colleges and Universities agree that they will:**

1. Design placement, credit, and exemption policies to augment educational placement opportunities, not to recruit students.
2. Evaluate student competency through the use of validated methods and techniques.
3. Define and publish in the institutions' pre-admission information the policies and procedures for granting credit.
4. Evaluate previously earned credit, published by the admitting college or university, in a manner which ensures the integrity of academic standards as well as the principle of fairness to the students.

**B. Secondary Schools agree that they will:**

1. Alert students to the full implications of college and university placement, credit, and exemption policies with regard to their educational planning and goals.
2. Make students aware of the importance of accreditation.
3. Make students aware of the possibilities of earning credit through both nontraditional educational experiences and examinations and alternative methods of instruction.

**VI. ALL OTHER ORGANIZATIONS AND ASSOCIATIONS PROVIDING ADMISSION COUNSELING SERVICES TO STUDENTS AGREE TO ADHERE TO THE PRINCIPLES IN THIS STATEMENT**



## Monitoring Procedures for Member Institutions for NACAC Statement of Principles of Good Practice

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All allegations of infractions of the Statement of Principles of Good Practice for members of the National Association of College Admission Counselors (the "Statement") involving a National ACAC member which also holds membership in a State or Regional ACAC shall first be considered by the State or Regional ACAC of which the accused is a member, using the guidelines set forth below. If

adequate investigation or resolution cannot be made at the State or Regional level, the alleged infraction shall be referred to the Admission Practices Committee of National ACAC (the "National AP Committee"). All allegations of infractions of the Statement against a National ACAC member which is not a member of a State or Regional ACAC shall be considered by the National AP committee.

The Admission Practices Committee becomes the allegor upon receipt of referral. The anonymity of the institutions involved in making the referral shall be maintained as the anonymity of the institution in question shall be maintained.

#### **A. Procedures at State or Regional ACAC Level**

1. Allegations of infractions against a member of National ACAC which is also a member of a State or Regional ACAC shall be reported to the president of the State or Regional ACAC of which the accused is a member, who shall refer the allegations to the chairperson of its Admission Practices Committee (the "State or Regional AP Committee"). The State or Regional AP Committee shall investigate the allegations in an effort to determine their validity. The chairperson of the State or Regional AP Committee shall notify the chairperson of the National AP Committee and President and Executive Director of National ACAC of the allegations and shall keep them informed of the progress of the investigation and related proceedings. Should there be no response to the initial letter of inquiry within 60 days from the S/R, then the allegor can take the complaint to the National AP Committee.
2. a) The State or Regional AP Committee chairperson, upon being notified of the allegations, shall immediately inform the accused of the allegations.  
b) The institution or individual accused shall be informed of each of the specifications contained in the allegations and shall be directed to respond in writing to each specification within 30 days.  
c) If the written response of the accused satisfactorily resolves the issues raised, the State or Regional AP Committee chairperson shall notify the accused and the party responsible for the allegations that the matter is closed.  
d) If the written response of the accused is not considered satisfactory or if no written response is received within the time provided for such response, the State or Regional AP Committee shall create a fact-finding committee to investigate the allegations and to recommend a course of action to be taken by the State or Regional AP Committee. The fact-finding committee shall consist of three members, who shall be selected as follows: one from the State or Regional AP Committee; one selected by the accused, other than the accused; and one who shall not be a member of the State or Regional Admission Practices Committee, selected by the other two members of the fact-finding committee. All members of the fact-finding committee shall be representatives or members of National ACAC.
3. The fact-finding committee shall report its findings and recommendations to the State or Regional AP Committee. If the State or Regional AP Committee concludes, based on the facts brought out from its investigation, that the accused has engaged in practices which violate the Statement, the State or Regional ACAC President, on behalf of the State or Regional AP Committee, shall request in writing that the accused terminate such practices. A reasonable timetable shall be suggested for the accused to desist.
4. If the accused continues to engage in the practices found to violate the Statement after the time period specified and fails to respond satisfactorily to the letter from the president of the State or Regional ACAC requesting it to desist engaging in such practices, the matter shall again be referred to the State or Regional AP Committee for recommendation of an appropriate penalty. Such recommendation shall be forwarded to the president of the State or Regional ACAC. The accused shall immediately be given notice of the State or Regional AP Committee's recommendation.
5. The accused may appeal the State or Regional ACAC Committee's recommendation to the State or Regional Executive Committee or Board, as the case may be, within 30 school days

- from the date of the State or Regional AP Committee+s recommendation. The accused shall be entitled to offer new evidence or contest the conclusions of the State or Regional AP Committee at a meeting of the State or Regional Executive Committee or Board held for the purpose of considering the appeal. The accused and members of the State or Regional AP Committee shall be given at least 14 days prior notice of such meeting. If the accused does not so appeal, the recommendation of the State or Regional AP Committee shall be deemed to be the decision of the State or Regional Executive Committee or Board and shall be binding on the accused.
6. In the event an appeal is taken to the State or Regional Executive Committee or Board, as the case may be, the State or Regional Executive Committee or Board, after consideration of all the facts relating to the allegations, shall notify the accused of its decision, including the penalty, if any, imposed.
  7. The decision of the State or Regional Executive Committee or Board, as the case may be, shall be final, unless, within 10 school days after the date of the decision of the State or Regional Executive Committee or Board, the accused files an appeal with the National AP Committee, in which event neither the State or Regional AP Committee nor the State or Regional Executive Committee or Board shall publish the decision.
  8. Penalties
    - a) *Censure*: All members of National ACAC shall be notified of the practices engaged in by the accused which have been found to violate the Statement and that the accused has been censured and ordered to desist engaging in such practices.
    - b) *Suspension of Voting Privileges*: All members of National ACAC shall be notified of the practices engaged in by the accused which have been found to violate the Statement and that the National ACAC voting privileges of the accused have been suspended, such suspension to last until lifted by the State or Regional Executive Committee or Board.
    - c) *Termination of Membership in National ACAC*: All members of National ACAC shall be notified of the practices engaged in by the accused which have been found to violate the Statement and that the membership of the accused in National ACAC has been terminated.
  9. If a penalty other than termination of membership is imposed and the accused fails to desist engaging in the practices found to violate the Statement, the State or Regional Executive Committee or Board shall refer the matter to the National AP Committee for further proceedings. The National AP Committee may terminate the accused+s membership in National ACAC if it cannot find adequate justification for the accused+s failure to desist engaging in the practices found to violate the Statement or it may develop a new timetable for the accused to desist engaging in such practices.

#### **B. Procedures at National ACAC Level**

1. Allegations of infractions against a member of National ACAC which is not also a member or a State or Regional ACAC shall be reported to the President of National ACAC, who shall refer the allegations to the chairperson of the National AP Committee. The National AP Committee shall investigate the allegations in an effort to determine their validity. The President of National ACAC shall notify the Executive Director of National ACAC of the allegations.
2.
  - a) The National AP Committee chairperson, upon being notified of the allegations, shall immediately inform the accused of the allegations.
  - b) The institution or individual accused shall be informed of each of the specifications contained in the allegations and shall be directed to respond in writing to each specification within 30 days.
  - c) If the written response of the accused satisfactorily resolves the issues raised, the National AP Committee chairperson shall notify the accused and the party responsible for the allegations that the matter is closed.
  - d) If the written response of the accused is not considered satisfactory, or if no written response is received within the time provided for such response, the National AP



- Committee shall create a fact-finding committee to investigate the allegations and to recommend a course of action to be taken by the National AP Committee. The fact-finding committee shall consist of three members, who shall be selected as follows: one from the National AP Committee; one selected by the accused, other than the accused; and one who shall not be a member of the National Admission Practices Committee, selected by the other two members of the fact-finding committee.
3. Any fact-finding committee appointed under paragraph 2(d) of this Part shall report its findings and recommendations to the National AP Committee. If the National AP Committee concludes, based on the facts brought out from its investigation, that the accused has engaged in practices which violate the Statement, the National ACAC President, on behalf of the National AP Committee, shall request in writing that the accused terminate such practices. A reasonable timetable shall be suggested for the accused to desist.
  4. If the accused continues to engage in the practices found to violate the Statement after the time period specified and fails to respond satisfactorily to the letter from the President of National ACAC requesting it to desist such practices, the matter shall again be referred to the National AP Committee for recommendation of an appropriate penalty. Such recommendation shall be forwarded to the President of National ACAC. The accused shall immediately be given notice of and a copy of the National AP Committee's recommendation.
  5. The accused may appeal the National AP Committee's recommendation to the National Executive Board within 30 school days from the date of the National AP Committee's recommendation. The accused shall be entitled to offer new evidence or contest the conclusions of the National AP Committee at a meeting of the National Executive Board held for the purpose of considering the appeal. The accused and members of the National AP Committee shall be given at least 14 days prior notice of the meeting. If the accused does not appeal the recommendation of the National AP Committee, the National AP Committee's recommendation shall be deemed to be the decision of the National Executive Board and shall be binding on the accused.
  6. In the event an appeal is taken to the National ACAC Executive Board, the National Executive Board, after consideration of all the facts relating to the allegations, shall notify the accused of its decision, including the penalty, if any, imposed.
  7. The decision of the National ACAC Executive Board shall be final.
  8. Penalties
    - a) *Censure*: See Paragraph 8(a) of Part A.
    - b) *Suspension of Voting Rights*: See Paragraph 8(b) of Part A.
    - c) *Termination of Membership in National ACAC*: See Paragraph 8(c) of Part A.
  9. If the allegations are brought to the National AP Committee on appeal from a State or Regional Executive Committee or Board, as the case may be, the National AP Committee, at least three members being present, shall review the record developed at the State or Regional ACAC level and may, if it deems it appropriate, hold a hearing at which the accused and members of the State or Regional AP Committee shall be entitled to offer evidence. If the National AP Committee determines that the facts are as determined at the State or Regional level and that any penalty imposed by the State or Regional Executive Committee or Board is appropriate, it shall recommend to the National Executive Board that the action taken by the State or Regional Executive Committee or Board be affirmed. If the National AP Committee concludes that the decision of the State or Regional Executive Committee or Board should be modified, it shall so recommend to the National Executive Board. The President of National ACAC shall inform the accused and the State or Regional AP Committee of the decision of the National Executive Board.
    - a) The accused and members of the State or Regional AP Committee shall be given at least 14 days prior notice of any meeting of the National AP Committee at which the appeal is to be considered.
    - b) The National AP Committee may appoint its own fact-finding committee if it deems it appropriate, following the same procedures set forth in paragraph 2(d) of this Part.

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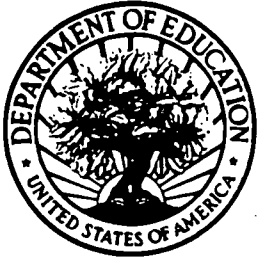


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