DISSERTATION

POLICY ADMINISTRATOR POSITION DIFFUSION: REGIONALLY ACCREDITED HIGHER EDUCATION INSTITUTIONS IN THE UNITED STATES

Submitted by

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ABSTRACT

POLICY ADMINISTRATOR POSITION DIFFUSION: REGIONALLY ACCREDITED HIGHER EDUCATION INSTITUTIONS IN THE UNITED STATES

When I was asked to work with policies at my university, the process in place was hazy at best. I learned of the Association of College and University Administrators (ACUPA), which was an informal list serve at the time, but eventually incorporated as a recognized professional association. ACUPA membership represented a very small number of higher education institutions in the United States. This raised my curiosity as I wondered how many institutions have established such a position. Is it an emerging profession among regionally accredited higher education institutions in the United States? If so, why?

An email invitation to participate in an online survey was sent to the chief academic officers, vice presidents for finance, and legal counsel at all (N = 2,889) regionally accredited higher education institutions in the United States and Washington, DC for which both contacts and IPEDS data were available. To establish prevalence, survey recipients were requested to respond even if their institution did not have the position. In addition to the survey, institutional characteristics were downloaded from the Integrated Postsecondary Education Data System (IPEDS) and merged with survey results.

Everett Rogers (2003) Diffusion of Innovation theory was the framework to learn how and why this position was adopted or rejected. A binary logistic regression was used to determine if independent variables (institutional characteristics) contribute to the likelihood the dichotomous dependent variable (adoption or rejection of the position) had for one outcome

versus the other. Based on the year of adoption, a cumulative frequency was generated which created the S-curve described by Rogers, depicting the rate of adoption.

The survey collected data describing the position (e.g., FTEs, educational background, where it fits within the organization). Part of the qualitative portion of the survey was structured using Rogers' (2003) "innovation-decision process," which includes the following stages: knowledge, persuasion, decision, implementation, and confirmation of decision. Directed content analysis was chosen as the method of analyzing the open-ended responses.

The S-curve created by plotting cumulative frequencies indicated an emerging profession. Although, the odds ratios suggest the odds of an institution establishing a policy administrator position decreases as the size of the institution decreases; institutions in all size categories reported having the position. Often expressed by respondents whose institutions do not have the position was the notion a full-time position could not be justified. However, the data show many positions are part time with varying percentages of an FTE devoted to policy work. Respondents stated goals or desired outcomes for the position and the issues to be addressed to achieve these goals and outcomes. This should be helpful to institutions considering the position as well as institutions who are just starting on the journey of establishing the position. A list of best practices emerged, which institutions may find helpful in implementing the position, to validate current policy practices whether or not they have the position, or may assist institutions in evaluating their need for the position.

ACKNOWLEDGMENTS

I felt truly blessed when Dr. Carole Makela agreed to be the chair my dissertation committee. I believe our meeting at a conference about two years earlier was providential. She shared a wealth of experience and knowledge, as well as provided tremendous encouragement and support throughout my long journey. I cannot begin to express my gratitude for her guidance along the way.

I am grateful to Dr. Linda Kuk who created the online PhD program, which was an excellent balance of online and face-to-face courses. The online courses throughout the main academic year made it possible to work and attend classes. The time, which would have been devoted to commuting on busy southern California freeways to attend class elsewhere, was better used for studying. The week-long class on campus each summer and two days at the beginning of spring semester provided the opportunity to socially interact with the other members of my cohort. I thank Dr. Kuk for the opportunity to participate in this program.

I felt blessed to be in a cohort comprised of individuals with a diverse background of experiences in higher education, which enriched class discussions. One individual I was assigned to work with for a presentation during the first summer class was George Marquis. George is an amazing academician who freely shared his knowledge and helped me get back into the mode of being a student. With him teaching in Cairo, Egypt and me in California, we Skyped each week to work on our project. By the time we arrived on campus in Fort Collins, we felt we already had a good friend in the class.

Our cohort was divided into groups of four with whom we worked on group assignments in every class throughout the didactic portion of the program. Dr. Kuk encouraged us to continue

to be there for those each other throughout the dissertation portion until all in our subcohort were done. Gaye DiGregorio did this for me. She periodically sent text messages and emails to check in with me throughout my dissertation-writing phase and cheered for me when I passed my dissertation defense. Staying connected through to the end was definitely encouraging.

I want to thank Carlene Drake, the head librarian at my home institution, who introduced me to EndNote, a reference management software package. She brought together two key individuals on her staff to set up EndNote on my computer and provide training. Building my EndNote library starting with the very first paper I wrote on through my dissertation proved to be one of my best resources. I cannot image writing a dissertation without it.

I worked with three separate datasets which needed to be combined for analysis. I did not know how I was going to accomplish this. When it came time to merge the three, I mentioned this to my online advising group led by Dr. Makela. Marcia Moraes, a member of this group with a computer science background, immediately offered to do this step for me with a script she had already written. What a welcome relief! Thank you Marica. I will always be grateful.

I am thankful for my first advisor, Dr. Marlene Strathe, who supported by dissertation topic and counseled me that I would not find literature on the topic so would have to find another angle to build my case. She left CSU before I began my literature review, but her advice was invaluable as it prepared me for the long road of combing the literature to find an appropriate approach.

Dr. Sue Lynham was present for the two days we spent on campus at the beginning of our literature review course. She planted the seed in my head to consider the S curve used in business, but I could not find information on it until Dr. Makela introduced me to Everett

Rogers' work, on the diffusion of innovation. There I discovered the elusive S curve and quickly realized this described the perfect foundational theory needed to build a case for my topic.

I am grateful to my brother, Bob, and friends who were supportive along the way. If they thought I was crazy embarking on a doctoral program at a late stage in my career, they did not express it. The genuine expression of joy on my brother's face when I told him I had passed my dissertation defense was worth more than the proverbial thousand words.

Above all else, I give glory to God who I believe guides my life on a daily basis; including this doctoral journey.

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CHAPTER 1: INTRODUCTION

In 2010, I was asked to work with policies at my university. What I soon realized was the administrator, who asked me to do this, really could not articulate what he expected the role of the person in this position should play within the university. Since I saw a need for a more proactive approach to policies on our campus, I accepted this ambiguous challenge. About a year into the position, I learned of the Association of College and University Policy Administrators (ACUPA) and was happy to know there were colleagues in other colleges and universities who had gone before. At the time, ACUPA was only an unofficial list serve.

In 2014, legal steps were taken to make ACUPA a recognized professional association. At the time, ACUPA membership represented about 4% of the population of regionally accredited colleges and universities (N = 3,106) in the United States. During the first standalone conference, one of the ACUPA board members expressed the need to find someone to conduct research because "we [ACUPA] do not really know much about who we are as a profession" (conference speaker, personal communication, May 2016). I had an interest in learning about the policy administrator position and then believed others could benefit from a better understanding of the profession as a whole.

The Association of College and University Policy Administrators (ACUPA) dated back to 1998 when it was first known as the Ivy-Plus Policy Professionals (IPPP). More recently, ACUPA described itself as "an association of professionals established to explore **policy processes** as well as to discuss specific **policy issues"** (ACUPA, 2013)**.** Its values included professionalism, collaboration, innovation, and education.

Defining Professions

Professions have been defined as "an extreme end of a continuum of work characteristics, and professions are those work activities that exhibit this complex of work characteristics to a high degree" (Pavalko, 1971). Mosher (1968, p. 106) defined *profession* "liberally as (1) a reasonably clear-cut occupational field, (2) which ordinarily requires higher education at least through the bachelor's level, and (3) which offers a lifetime career to its members."

Many professional occupations required a specified level of education. The required education was defined by accrediting bodies, setting standards for entrance into a profession. Some accrediting bodies have been governed by a consortium of schools, practitioners, or a combination of professional schools, practitioners, and licensing boards (Daniels & Johansen, 1985).

Goode (1957) and Pavalko (1971) identified a list of characteristics to describe a profession (Table 1). Goode used the characteristics of a community from the field of sociology to describe a profession. Pavalko utilized characteristics (Table 1) to position occupations on an occupation-profession continuum. The more closely an occupation manifested each characteristic, the closer it was to being a profession versus an occupation.

Typically, members of a professional community knew each other through membership in a professional organization and networking events such as conferences. While members of a profession do not do everything alike, they learned from each other; establishing best practices in the process. New members to the profession were mentored into the culture, giving them a foundation on which to continue to build the profession by shared ideas; thus, keeping the profession current with changing times.

Table 1. Characteristics of a Profession by Goode and Pavalko

Goode	Pavalko
"Members are bound by a sense of identity."	"Sense of Community . . . common identity and common destiny . . . possession of a distinctive culture . . ."
"Once in it, few leave, so that it is a terminal or continuing status for the most part."	"Codes of Ethics."
"Members share values in common."	"Relevance to Basic Social Values."
"Its role definition *vis-à-vis* both members and non-members are agreed upon and are the same for all members."	"Motivation . . . motivated by the desire to best serve their clients, rather than by self-interest and the desire for monetary gain."
"There is a common language which is understood only partially by outsiders."	"Theory or Intellectual Technique . . . systematic body of theory and esoteric, abstract knowledge."
"The Community has power over its members."	"Autonomy . . . self-regulation, and self-control . . . freedom . . . to regulate their own work behavior."
"Its limits are reasonably clear, though they are not physical and geographical, but social."	"Sense of Commitment . . . work may be viewed as a 'calling'."
It produces the next generation "socially through its control over the selection of the professional trainees, and through its training processes it sends these recruits through an adult socialization process."	"Training Period."
(Goode, 1957, p. 194)	(Pavalko, 1971, p. 18)

Caplow (1954, p. 139) asserted "the steps involved in professionalization are quite definite, and even the sequence is explicit." The five occupations Caplow cited have not all achieved professional status. Wilensky (1964) reviewed the history of 18 professions in the United States, none of which were the same referenced by Caplow, and concluded there was a typical sequence in the development of professions; however, he acknowledged there was some

variation to the order. The steps/sequence identified by Caplow and Wilensky were very similar, but the order was definitely different (Table 2).

Table 2. Steps/Sequence to Professionalization of Occupations, Caplow and Wilensky

Steps/ Sequence	Caplow's Steps to Professionalization	Wilensky's Sequence of Events
1	"the establishment of a professional association, with definite membership criteria designed to keep out the unqualified."	"*Start doing full time the thing that needs doing*."
2	"change of name . . . reducing identification with the previous occupational status."	"Press for *establishment of a training school*."
3	"development and promulgation of a code of ethics which asserts the social utility of the occupation, sets up public welfare rationale, and develops rules which serve as further criteria to eliminate the unqualified and unscrupulous."	"Those pushing for prescribed training and the first ones to go through it *combine to form a professional association*."
4	"prolonged political agitation, whose object it is to obtain the support of the public power for the maintenance of the new occupational barriers. In practice this usually proceeds by stages from the limitation of a specialized title to those who have passed an examination (registered engineer, certified public accountant) to the final stage at which the mere doing of the acts reserved to the profession is a crime."	"Persistent *political agitation* in order to win the *support of law* for the protection of the job territory and its sustaining code of ethics."
5	Concurrently with step four, "goes the development of training facilities directly or indirectly controlled by the professional society . . .	"to protect clients and emphasize the service ideal will be embodied in a *formal code of ethics.*"
	(Caplow, 1954, pp. 139-140)	(Wilensky, 1964, pp. 142-145)

Abbott (1988) took a "systems approach" in analyzing how professions evolved. One group of professionals he identified as "information professionals," those occupations help individuals and organizations manage information. He divided information professionals into two categories: qualitative (e.g., librarians) and quantitative (e.g., cost accountants and management engineers). The systems approach looked at what system forces or organizational disturbances led to the creation of the professions. A similar approach described the emergence of public health informatics. "Public health informatics arose as a profession within public health because of the confluence of information and computing sciences and trends in public health" (Araujo et al., 2009, p. 376). For future studies of professions, Abbott (1988, p. 325) recommended "we must stop studying single professions—medicine especially—and start studying work. We need histories of jurisdictions—who served them, where they came from, how the market was created, how conflict shaped participants."

Araujo et al. (2009, p. 375) defined an emergent profession as one that "lacks a base of 'technical specialized knowledge.'" Emergent profession was one term sociological literature used to refer to the professionalization of occupations and professions (Pavalko, 1971).

Established professional organizations associated with higher education includes: The Association of Collegiate Registrars and Admissions Officers had its beginnings in 1910 (American Association of Collegiate Registrars and Admissions Officers [AACRAO], 2010). AACRAO's purpose statement began

> The mission of the American Association of Collegiate Registrars and Admissions Officers (AACRAO) is to provide professional development, guidelines and voluntary standards to be used by higher education officials regarding the best practices in records management, admissions, enrollment management, administrative information technology and student services (AACRAO, 2016).

The National Association of Student Personnel Administrators (NASPA), founded in 1918 (NASPA, n.d.-b), described itself, in part, as

> Through high-quality professional development, strong policy advocacy, and substantive research to inform practice, NASPA meets the diverse needs and invests in realizing the potential of all its members under the guiding principles of integrity, innovation, inclusion, and inquiry. NASPA members serve a variety of functions and roles, including the vice president and dean for student life, as well as professionals working within housing and residence life, student unions, student activities, counseling, career development, orientation, enrollment management, racial and ethnic minority support services, and retention and assessment (NASPA, n.d.-a, para. 3).

The National Association of Student Financial Aid Administrators (NASFAA), founded in 1966 (n.d.-b), described itself as,

> the largest postsecondary education association with institutional membership in Washington, D.C., and the only national association with a primary focus on student aid legislation, regulatory analysis, and training for financial aid administrators in all sectors of post-secondary education (NASFAA, n.d.-a).

Many of the characteristics of a profession identified by Goode (1957) and Pavalko (1971) were relevant to the professional associations specific to higher education. The common characteristics included a sense of community, identity, commitment; a motivation to serve their clients; and a code of ethics. The characteristics members of professional associations in higher education may lack were:

1. No formal training period—no training was required or even provided in universities. Training came through on-the-job mentoring and learning best practices through membership and attendance at annual meetings of a professional association.
2. No control over selection of trainees—no state or national licensure-controlled entrance into positions in higher education and the professional association had no say in the qualifications of those hired in positions nor did it restrict association membership.

3. Limited autonomy—administrators in these roles were expected to follow best practices for their profession and be knowledgeable about federal and state regulations pertaining to their area of responsibility. Within those guidelines, there was a degree of autonomy, although a higher administrator could demand actions not considered by the professional organization to be within the scope of best practices.

The occupations that made up the membership of the professional associations in higher education had not gone through the steps to professionalization described by Caplow (1954) and Wilensky (1967) with the exception of establishing a code of ethics. Take AACRAO as an example, membership did not attempt to keep out the unqualified and did not promote/require licensure to function as a registrar, admissions officer, etc. AACRAO conducted conferences and webinars to facilitate the dissemination of knowledge based on best practices, but did not promote prescribed training centers controlled by the professional organization.

What is Known About Policy Administrators

Not much was known about policy administrators. In some cases, in addition to individuals being new to this position, the position may be new to institutions. This was true in my case. I was the first to accept a policy administrator position at my institution, not knowing other institutions had already established a position and some a policy office. Three years into my position, I joined the Association of College and University Policy Administrators (ACUPA). Based on the list of institutions who were members of the ACUPA list serve (about 4% of U.S. regionally accredited institutions), I concluded this was an emerging position. When this study began, it was only speculation that the policy administrator position may be new to many institutions because no empirical evidence indicated otherwise.

In January 2016, during a conversation with several other doctoral students working in higher education, someone asked about my dissertation topic. When I said I was looking at the policy administrator position in institutions of higher education I was met with quizzical looks. I asked if any of their institutions had a campus policy administrator and each said no. On an earlier occasion, an individual from an institution I knew had a policy administrator commented, "no institution has such a position because policies reside only in departments" (classmate, personal communication, January 2015). I knew this statement was not correct. Likewise, were responses from the eight doctoral students I queried in January 2016 uninformed, or did their institutions really not have such a position? If the policy administrator position at institutions of higher education had diffused widely, it may be one of the best-kept secrets on many campuses.

ACUPA created a survey (Blobaum, Ford, Hippchen, Petersen, & Spellacy, 2005) to explore the "state of policy development processes in institutions of higher education, and to review the history and mission of the Association of College and University Policy Administrators." The survey sent to the 135 ACUPA members, resulted in 24 responses. Little was learned from this survey. Some demographic information of the institutions was gleaned such as the Carnegie classifications.

The report, resulting from the survey, included a list of the 15 charter member institutions; all were doctoral, research universities and 11 of 15 were public, not private. Half of the respondents identified their institutions as a doctoral or research university. One survey question asked participants to identify the policy process at their institutions as centralized, decentralized, both, disorganized, or other. The responses included seven centralized, five decentralized, seven both, three disorganized, and two other. Due to the low number of

respondents and survey design, the report concluded "it is difficult, and probably unwise, to draw conclusions" (Blobaum et al., 2005, p. 6).

The *Institutional Policy Project* (Freeman et al., 2014b) was initiated by a researcher from an Australian university in collaboration with universities in the United States, New Zealand, and Papua New Guinea. In the United States, surveys were posted to the email discussion lists of the Association of College and University Policy Administrators (ACUPA), the American Association of Registrars and Admission Officers (AACRAO), and the University Risk Management and Insurance Association (URMIA) resulting in 21 responses. One of the key questions was, "What institutional infrastructure and resources are in place to support institutional policy" (p. 1)? Rather than being specific the authors summarized, "A small number of case studies and conference presentations provide information regarding the quantity (full-time equivalence) and location of dedicated policy practitioners, and discuss emerging approaches to policy management" (Freeman et al., 2014a, p. 16). The "case studies and conference presentations" referenced were "presentations of the United States based Association of College and University Policy Administrators (ACUPA), and Australasian Tertiary Education Management (TEM) Conference run by the Association of Tertiary Education Management (ATEM)" (p. 16). No specific case studies or conference papers were identified to substantiate this comment. Their survey did not focus directly on the position of a policy administrator although it indicated some evidence of an interest in learning of "emerging approaches to policy management" (p. 16). The interview questions sought to discover the extent to which various aspects of the institution (i.e., strategy, budget, delegations of authority, quality, risk, compliance and audit, and institutional research) were aligned with policy. The majority of the responses from each of the four countries indicated no links between policy and the other aspects

mentioned above. This "silo" effect was noted to be highest among U.S. institutions. In conclusion, the report revealed the responsibilities of the "policy practitioner," irrespective of country, ranged from simply formatting documents and record keeping to strategically managing institutional policies.

In their historical review of American higher education, Cohen and Kisker (2010) addressed the role and existence of the registrar in the 1870-1944 era as part of the "administrative bureaucracy." Today, it is an accepted reality, colleges and universities have registrars even though this may not be the specific title of the position, the function is represented on all campuses. AACRAO had a membership of 11,100+ representing a little more than 2,500 U.S. institutions plus many international institutions (American Association of Collegiate Registrars and Admission Officers [AACRAO], 2017).

Policies have long been in existence, but apparently no felt need to create an administrative position for oversight and guidance in policy development. The policy administrator position existed; however, the prevalence of the position in colleges and universities was unknown.

Role of Institutional Policy

There was no question of the need for attention to policies as they have been a part of educational institutions for a very long time. Clark, Griffin, and Martin (2012) articulated the importance of policies as:

> Institutional policies are vital to the well-being of institutions of higher education. They promote legal and regulatory compliance; are the primary means of informing the faculty, staff, and students of rights, responsibilities, and procedures; are a standard by which institutions are judged in litigation; and can be an important facet of shared governance (p. 12).

Other authors lent support to Clark et al.'s (2012) acknowledgement that policies play a significant role in institutions. Tierney (2008) posited policies were one form of communication by which members understood the institutions' identities.

Eckel and Kezar (2003) wrote about the transformation of college and university campuses, and depending on the nature of the transformation, its effect could be ubiquitous changes of "behaviors, ways of thinking, structures, policies, beliefs and practices" (p. 30). In addition to the role policy plays in transforming an institution, Eckel and Kezar cautioned that changing structures and policies may not change thinking and beliefs of all individuals associated with the campus, but such changes "set a direction and provide a framework for action" (p. 111) to help change institutional culture. Smircich defined culture as "social or normative glue that holds an organization together." (1983, p. 344).

Purpose of the Study

Coomes (2000) chronicled the emergence of student aid related functions as a profession in 1966, the role of enrollment management as an administrative function in the late 1970s, and the forces that created the need for these new positions in higher education. "The passage of the NDEA [National Defense Education Act – passed in 1958] and the development of a formal needs assessment analysis process fostered the creation of numerous independent offices with the responsibility for establishing eligibility standards, awarding funds, and monitoring the student aid process" M. L. Lange's book chapter (as cited in Coomes, 2000, p. 8). "Student aid as an institutional function and as a profession would come of age in 1966" (Coomes, 2000, p. 9). "Enrollment management was a logical response for higher education when suddenly the marketplace changed from seller to buyer and admissions directors transitioned from gatekeepers to salesmen" (Kurz & Scannell, 2006, p. 80). Hossler (2011) added to this historical account by

identifying early institutional adopters of enrollment management, highlighting the work of Jack Maguire at Boston College (Massachusetts). Hossler credited Maguire with coining the term "enrollment management" in 1976.

Enrollment management (late 1970s) was a plan to coordinate several student services' functions under one umbrella. Unlike enrollment management, which spread more slowly among institutions, financial aid (1966) diffused rapidly.

> An almost immediate consequence of the passage of the 1965 Higher Education Act was the establishment across the country of financial aid offices to administer the new grant, loan, and work-study programs and the concomitant development of a new type of professional—the financial aid officer (Duffy & Goldberg, 1998, p. 175).

The establishment of professional associations advanced a number of higher education administrative positions. These organizations (Table 3) are listed in chronological order beginning with the earliest in 1910—the American Association of Collegiate Registrars and Admissions Officers (AACRAO).

Table 3. Professional Organizations Representing Non-Academic Functions in Institutions of Higher Education (HE)

Professional Organization	Year Founded	Membership/HE Institutions Represented
AACRAO (2017) American Association of Collegiate Registrars and Admissions Officers	1910	11,100+ members in 36 countries
NASPA (n.d.-b) Student Affairs Administrators in Higher Education (formerly: National Association of Student Personnel Administrators)	1919	15,000+ members in all 50 U.S. states, 8 U.S. territories, and 25 countries
ACPA-HR (n.d.) College and College and University Professional Association for Human Resources	1946	25,000 members representing over 2,000 organizations

Professional Organization	Year Founded	Membership/HE Institutions Represented
NAFSA (n.d.) Association of International Educators (formerly: National Association of Foreign Student Advisors)	1948	10,000 members representing 3,500 institutions worldwide
CSHEMA (n.d.) Campus Safety, Health, and Environmental Management Association	1954	1,000+ members representing ≈ 400 institutions in the United States and eight other countries
ACUA (n.d.) Association of College and University Auditors	1958	500 institutions in the United States and Canada
NACUA (n.d.) National Association of College and University Attorneys	1960	4,800 members representing 1,800 institutions
NACUBO (n.d.) National Association of College and University Business Officers	1962	1,900 institutions
NASFAA (n.d.-a) National Association of Student Financial Aid Administrators	1966	Nearly 20,000 members representing ≈ 3,000 institutions (includes career schools)
AIR (n.d.) Association of Institutional Research	1966	3,900 members (L.E. Ross, personal communication, July 12, 2019) representing approximately 1,800 institutions (Z. Johnson, personal communication, July 26, 2019)
CASE (n.d.) Council for Advancement and Support of Education. (formed by the merger of the American Alumni Council [1927-1974] and the American College Public Relations Association [1930-1974])	1974	Nearly 81,000 members representing 3,670 institutions (primary through university) internationally.
URMIA (n.d.) University Risk Management and Insurance Association	1991	Thousands of members representing 600+ institutions

Professional Organization	Year Founded	Membership/HE Institutions Represented
AHEPPP (n.d.) Association of Higher Education Parent/Family Program Professionals	2008	200+ institutions
ATIXA (n.d.) Association of Title IX Administrators	2010	25,000 members representing schools, colleges, and universities
ACUPA (n.d.) Association of College and University Policy Administrators	2014	190 institutions in 5 countries (primarily in the United States and Canada)

Prior to the creation of enrollment management and an office of financial aid, components of these two offices were handled by other offices on campus. Likewise, an individual, often within the campus business office or the president's office, handled policy administration. The move of some institutions to create a policy administrator position and/or policy office may be indicative of the ever-increasing specialization of work. Is the policy administrator the next position to emerge as a separate office throughout higher education and if so, why?

The purpose of this study was to ascertain the prevalence of policy administrator positions among colleges and universities in the United States. What were the salient factors in the decision-making process to either accept or reject creating the position, institutional characteristics of both groups of institutions (those who accepted or rejected). If accepted, what was the scope of responsibilities this position encompassed, and what has the position contributed to the overall functioning of an educational institution? Respondents stating their institution does not have the position were asked if they were aware such a position exists. Respondents, who indicated they were not aware of the position, were placed in a third category and received no further analysis.

Theoretical Foundation

For a position (policy administrator) appearing to be relatively new, determining its prevalence in higher education institutions (diffusion), the rate at which it is being adopted, and why this idea was accepted or rejected by institutions fits well into Rogers' (2003) diffusion of innovation theoretical framework. Diffusion of innovation (DOI) was a social change process that could be either planned or spontaneous. DOI dated back to Gabriel Tarde, a sociologist at the turn of the 20th century who recognized consistent patterns associated with the diffusion of innovations, he labeled "laws of imitation." Like Rogers (2003), Tarde recognized the development of the S-shaped curve, which resulted from plotting the adoption of a new innovation and revealed the rate of adoption. Tarde's observations were not documented through empirical research until years later. A key study conducted by Ryan and Gross (1943) was attributed with establishing DOI as a theoretical framework. From a sociological point of view, Ryan and Gross studied the adoption of hybrid corn among Iowa farmers in two communities and identified the channels of communication by which the adoption diffused among farmers.

A meta-analysis of literature conducted by Greenhalgh et al. (2005) identified a number of academic disciplines (e.g., sociology, psychology, interdisciplinary studies in psychology and economics, epidemiology, organization and management, information and communication technology, and other combinations of disciplines) that used diffusion of innovation as the theoretical framework for studies.

Relevant Features of Diffusion of Innovation

Because the terms technology and innovation are often used interchangeably, technology has commonly been associated with hardware, but Rogers (2003) pointed out technology was also information. One of the examples of "idea-only" innovations Rogers gave was policy,

noting idea-only innovations were not easily observed resulting in a slower rate of adoption. This concept was relevant to my study in terms of identification and development of an administrative position for policy diffusing from institution to institution of higher education. It was feasible the same perceived attributes of diffusion (i.e., relative advantage, compatibility, complexity, trialability, and observability) applied to diffusion of policy administrator positions. Rogers (2003) pointed out the first two attributes were salient to understanding the rate of adoption of an innovation.

Adoption required the innovation to be compatible with the values and needs of the adopting institution. An innovation may need to be re-invented to some degree to be compatible. DOI researchers acknowledged this in about 56 percent of adoption cases. A basic idea was adopted and then modified to meet the needs of an individual or organization. "A higher degree of re-invention leads to a higher degree of sustainability of an innovation" (Rogers, 2003, p. 182). This supported the comment by a policy administrator to me, prior to the survey, that all policy administrator positions were not alike.

Criticism of Diffusion of Innovation

The most serious criticism, according to Rogers (2003), was pro-innovation bias. Much of DOI research was conducted after innovations diffused, which led people to think an innovation should be adopted by a majority. Rogers (2003) noted it was much easier and more fascinating to study an innovation that diffused quickly versus one that had been rejected, discontinued, or diffused slowly. "The problem is that we know too much about innovation successes and not enough about innovation failures. The latter might be more valuable in an intellectual sense" (Rogers, 2003, p. 111).

Rogers (2003) concurred with March (1981) on his observations about changes in organizations. March posited organizations face challenges for which there was little possibility of finding a solution; however, he noted the reverse was more plausible. Organizations watch for solutions without a specific problem in mind and then applied the solution they had discovered to existing problems. There was a greater chance of finding existing problems to match a found solution than vice versa. March observed success stimulated more change than problem solving did. These observations by March may have been relevant to the adoption of the policy administrator position. More specifically, it may have been institutions of higher education learned of policy administrator positions and then realized it could be a solution to some problem(s) or for symptoms of a problem not yet identified.

Another criticism was the "individual-blame bias," which put an individual at fault versus the system when an innovation was not adopted. Individuals or organizations may have very rational reasons for rejecting an innovation, but many researchers had not asked why. False assumptions could be made when one did not ask why. For example, as the cost of cell phones decreased, the rate of adoption increased (Burke, 2014) indicating cost was a reason for not adopting a cell phone soon after it appeared on the market. It could have been assumed individuals were resistant to the new technology, when in reality for many individuals (e.g., teenagers) cost delayed adoption.

Research Questions

Due to the lack of empirical data establishing policy administrator positions as new or emerging, it became apparent the study must collect data on the prevalence of the position and then plot the S-shaped curve to determine the status of the diffusion process pertaining to adoption of policy administrator positions in higher education. These data were expected to

provide a foundation for learning the process of creating and developing the position; ultimately learning why it came to be. Rogers (2003) referred to this as the innovation-decision process and reported a "scarcity of process research" (p. 196).

Collecting quantitative data from the population of regionally accredited institutions provided a foundation for the qualitative strand. Qualitative data were also collected via a survey resulting in a concurrent mixed-methods design. Input from college and university administrators (i.e., chief academic officers, chief financial officers, and institution attorneys) was sought to learn the innovation-decision process for policy administrator positions.

Quantitative Questions

1) To what extent, had the policy administrator position diffused among regionally accredited degree-granting higher education institutions in the United States? What was the rate of adoption?
2) What was the relationship of the presence of a policy administrator position and institutional characteristics (i.e., Carnegie classification, sector, size, geographical location)?
3) What was the relationship of the absence of a policy administrator position and institutional characteristics (i.e., Carnegie classification, sector, size, geographical location)?
4) For institutions with a policy administrator, what was the scope of responsibilities?

Qualitative Questions

Whether or not the policy administrator position had diffused among institutions, there was benefit in learning more about this position that existed at some institutions and the role individuals in the position provided to the institution?

1) What was the innovation-decision process?

2) For institutions that have adopted a policy administrator position, what factors were most salient to the decision to create this position?

3) If the policy administrator position has not been adopted, why not? What factors were most salient in this decision of non-adoption?

Definitions of Terms

"*Adopter categories*, the classifications of members of a social system on the basis of innovativeness, include: (1) innovators, (2) early adopters, (3) early majority, (4) late majority, and (5) laggards" (Rogers, 2003, p. 22).

"*Diffusion* is the process in which an innovation is communicated through certain channels over time among the members of a social system" (Rogers, 2003, p. 5).

"*Compatibility* is the degree to which an innovation is perceived as consistent with the existing values, past experiences, and needs of potential adopters" (Rogers, 2003, p. 240). This was one of the five attributes identified by Rogers that influenced the rate of adoption.

"*Complexity* is the degree to which an innovation is perceived as relatively difficult to understand and use" (Rogers, 2003, p. 256). This was one of the five attributes identified by Rogers that influenced the rate of adoption.

DOI: Diffusion of innovation

Innovation is "defined as an idea, practice, or object that is perceived as new by an individual or another unit of adoption. An innovation presents an individual or an organization with a new alternative or alternatives, with new means of solving problems. But the probabilities of the new alternatives being superior to previous practice are not exactly known by the individual problem solvers. Thus, they are motivated to seek further information about the innovation to cope with the uncertainty that it creates" (Rogers, 2003, p. xx).

"The *innovation-decision process* is the process through which an individual (or other decision-making unit) passes from first knowledge of an innovation, to the formation of an attitude toward the innovation, to a decision to adopt or reject, to implementation and use of the new idea, and to confirmation of this decision" (Rogers, 2003, p. 20).

IPEDS (Integrated Postsecondary Education Data System) was established as the core postsecondary education data collection program for NCES. "The National Center for Education Statistics (NCES) is the primary federal entity for collecting and analyzing data related to education in the U.S. and other nations. NCES is located within the U.S. Department of Education and the Institute of Education Sciences. NCES fulfills a Congressional mandate to

collect, collate, analyze, and report complete statistics on the condition of American education; conduct and publish reports; and review and report on education activities internationally" (U.S. Department of Education/National Center for Education Statistics (NCES), 2016, para. 1).

NCHEMS (National Center for Higher Education Management Systems). "NCHEMS is a private nonprofit (501)(c)(3) organization whose mission is to improve strategic decision making in post-secondary education for states, systems, institutions, and work-force development organizations in the United States and abroad. NCHEMS carries out research, development, dissemination, evaluation activities, as well as technical assistance. NCHEMS is a national and international resource for turning data into usable knowledge for policy makers at all levels" (NCHEMS, 2017, para. 1).

"*Observability* is the degree to which the results of an innovation are visible to others" (Rogers, 2003, p. 258). This was one of the five attributes identified by Rogers that influenced the rate of adoption.

"Rate of adoption is the relative speed with which an innovation is adopted by members of a social system. It is generally measured as the number of individuals who adopt a new idea in a specified period, such as a year" (Rogers, 2003, p. 221). In this study the adopter was the institution. Rogers' identified five attributes (i.e., relative advantage, compatibility, complexity, trialability, and observability) that influence the rate of adoption and pointed out it was the adopter's perception of these attributes, and not the definition of these attributes by experts, that affected the rate of adoption.

"*Relative advantage* is the degree to which an innovation is perceived as being better than the idea it supersedes. . . often expressed as economic profitability, as conveying social prestige, or in other ways" (Rogers, 2003, p. 229). This was one of the five attributes identified by Rogers that influenced the rate of adoption.

Regional accrediting agency:"Regional accrediting agencies are recognized by the U.S. Secretary of Education as reliable authorities concerning the quality of education or training offered by the institutions of higher education they accredit. The individual agencies accredit institutions in specific geographic regions of the country" (U.S. Department of Education, 2016b, para. 22). The six regional accrediation agencies included: (1) Middle States Commission on Higher Education (MSCHE); (2) New England Commission of Higher Education (NECHE); (3) Higher Learning Commission (HLC); (4) Northwest Commission on Colleges and Universities (NWCCU); (5) Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC): (6) Western Assocation of Schools and Colleges (WASC), which had two subagencies for higher education, Senior Colleges and University Commission (WSCUC) and the Accrediting Commission for Community and Junior Colleges (ACCJC) (U.S. Department of Education, 2016a).

Re-invention was "defined as the degree to which an innovation is changed or modified by a user in the process of adoption and implementation" (Rogers, 2003, p. 17).

Silo: "A system, process, department, etc. that operations in isolation from others" per the *Oxford English Dictionary* (as cited in Tett, 2015, p. 13).

"A *social system* is defined as a set of interrelated units that are engaged in joint problem solving to accomplish a common goal. . . . Each unit in a social system can be distinguished from other units" (Rogers, 2003, p. 23).

SPSS: IBM SPSS was a leading software package for analysis of data from simple descriptive statistics to complex statistical tests.

S-shaped curve: The shape of the line formed when the cumulative numbers of adoptions in the diffusion process were plotted on a line graph over time. These same numbers, when plotted as frequencies formed a bell-shaped curve representing a normal distribution (Rogers, 2003).

"*Trialability* is the degree to which an innovation may be experimented with on a limited basis" (Rogers, 2003, p. 257). This was one of the five attributes of adoption identified by Rogers that influenced the rate of adoption.

Unit ID: Unique identification number assigned to postsecondary institutions surveyed through the Integrated Postsecondary Education Data System (IPEDS). Also referred to as UNITID or IPEDS ID" (NCES, 2018, p. 28).

URIMA: University Risk Management and Insurance Association (URMIA, n.d.).

Delimitations

The population for this study was limited to regionally accredited, degree-granting institutions of higher education in the United States—public, private not-for profit, and private for-profit institutions. At the time the survey was sent (first pilot sent November, 2020), the latest available IPEDS data were downloaded. The chief academic officer, chief financial officer, and institution attorney for each regionally accredited institution were sent the survey.

Assumptions

It was assumed the existence of a policy administrator had a positive influence on the institution as a whole and there were best practices to be learned from institutions that have instituted this position. It was understood such a position might not be perceived as necessary by

all institutions. Institutions have made a conscious decision to accept or reject; or made no deliberate consideration.

It was assumed institutions that have created a policy administer position have a variety of characteristics. In other words, they were not all doctoral, research institutions or all from one geographical location, etc.

Plotting the S curve provided the rate of diffusion (how rapidly was it diffusing or has diffused) and an indication of where it was in the diffusion process—fully diffused (not the same as 100% adoption) or continuing to diffuse.

Significance of the Study

Very little has been studied about what appears to be a relatively new position in higher education institutions. As identified earlier, functions such as financial aid and enrollment management have documented histories providing reasons they have diffused among U.S. institutions, but information was lacking for the policy administrator position. Institutional policies are an integral part of an institution. Understanding processes related to adoption of an innovation could increase understanding and improved practices. Learning what other institutions have done and why, may result in increased understanding and informed practices. It was hoped the data collected would enlighten others of the salient reasons institutions have chosen to either accept or reject this innovation. The outcome would raise awareness of the policy administrator position for institutions either unaware of such a position or unaware of the relative advantages such a position provided.

Plotting the S-shaped curve identified how widely the position had diffused. If the role had significantly diffused, it would help to increase awareness of possible alternative/options that may benefit other institutions. If it had not diffused, the qualitative data of the study could

identify why (e.g., low observability, inadequate channels of communication, or not viewed as beneficial).

In addition to what was learned about the policy administrator position, the study could enhance understanding of the diffusion of innovation theory in higher education processes by exploring various aspects of the theory for insights. It was an opportunity to lessen the gaps in diffusion research. Rogers (2003) posited diffusion research can be conducted while an innovation was diffusing. Studying it did not have to wait until after an innovation had fully diffused. Further he recommended this as a way of avoiding pro-innovation bias. Rogers admonished researchers to more fully understand what motivated individuals or organizations to adopt an innovation and posited "such 'why' questions about adoption have seldom been probed effectively by diffusion researchers" (Rogers, 2003, p. 115). The *why* question needed to be asked about both the adoption, rejection, or discontinuance of an innovation. For this reason, it was appropriate to include a qualitative component to this study.

CHAPTER 2: LITERATURE REVIEW

Policy Studies and Related Theories

The literature search used the following key words: policy, institutional policy, policy development, policy formation, institutional governance, organizational culture, knowledge sharing, institutional transformation, sense making, collaboration and silos, emerging roles and positions, and diffusion of innovation. The keywords were searched both as standalone keywords and coupled with higher education and/or leadership. The library databases used for these searches included: EBSCO Academic Search Premier (multi-disciplinary database), ERIC (education and related social sciences), and Dissertations & Theses Global (ProQuest Collection). These searches did not uncover studies specifically on the policy administrator position or role. And, very little research was found related to institutional policy governance or processes.

Some research, out of Australia, will be discussed later. One study of policy diffusion (Glick, 2010) investigates collaboration among university attorneys on best practices to comply with federal and state mandated legislation. A study (Blobaum et al., 2005) of the ACUPA (Association of College and University Policy Administrators) membership, posted on the ACUPA website (acupa.org), has not been published in a peer-reviewed journal. Heyvaert, Hannes, and Onghena (2016) encouraged the use of *gray* literature in literature reviews. Gray literature includes conference proceedings, unpublished research reports, published but not peer reviewed papers, newspapers, etc. (American Psychological Association, 2010).

Research related to policy administration is minimal. This review of literature looks at 1) diffusion of innovation theory, 2) policy categories (i.e., public and institutional) pertaining to

higher education, 3) policy development, and 4) development of new and emerging positions/roles.

Diffusion of Innovation

According to Rogers (2003), the most influential study in diffusion was conducted by Ryan and Gross (1943). Hybrid corn was a new agricultural technology introduced to Iowa farmers in 1928. The Iowa Agricultural Extension Service actively promoted the use of the hybrid, which expected to yield a 20% increase, was drought resistant, and could be harvested with mechanical corn pickers. Ryan was interested in the social relationships farmers had with their neighbors and the impact such relationships had on the adoption of this new hybrid. Gross assisted Ryan by interviewing farmers in two Iowa communities. Rogers (2003) gave Ryan and Gross credit for being key players "in forming the classical diffusion paradigm" (p. 34), which includes the main elements of diffusion: "(1) an *innovation*, (2) that is *communicated* through certain *channels* (3) *over time*, (4) among members of a *social system*" (p. 35).

The diffusion of innovation did not limit innovation to technology as hardware as many think. Instead, Rogers (2003) expanded it to innovations that may be primarily information including a political philosophy, a religious idea, a news event, or a policy. "Such idea-only innovations have a relatively lower degree of observability and thus a slower rate of adoption" (p. 13). The following two authors from political science referenced Rogers' (2003) research on diffusion of innovations as it related to government programs and policies, supporting Rogers' use of the term *innovation*.

> The most important, and potentially misleading. . . An innovation will be defined simply as a program or policy which is new to the states adopting it, no matter how old the program may be or how many other states may have adopted (Walker, 1969, p. 881).

The above definition was further clarified by the following statement:

> This means that a governmental jurisdiction can innovate by adopting a program that numerous other jurisdictions established many years ago. By embracing this definition, students of policy innovation explicitly choose not to study policy *invention*—the process through which *original* policy ideas are conceived. To flesh out the distinction via illustration, a single policy *invention* can prompt numerous American states to *innovate*, some many years after the others (Berry & Berry, 2007, p. 223).

Attributes of Adoption

Rogers (1995) identified five attributes of innovations influencing the rate of adoption: relative advantage, compatibility, complexity, trialability, and observability. Three of these attributes are reflected in this review.

Relative advantage. Did individuals see an advantage in implementing a new innovation? Parisky (2015) examined the implementation of educational technology in selected U.S. medical schools and perception of leaders at these schools toward educational technology.

Compatibility. Was there congruence between the new idea and the participants' existing values, experiences and needs? Leonardo (2015) studied aspects of mediation training and participants' attitudes toward training materials that promoted the transfer process from trainer to trainee. When skills learned during the training were perceived as skills useful to their jobs, training transfer occurred.

Trialability. An integral part of East's (2015) study of the use of mental health mobile applications (MHMAs) in counselor education was the opportunity for participants to try MHMAs, which they downloaded to their mobile phones. This resulted in a higher number of study participants' decisions to utilize MHMAs in their teaching.

Adopter Categories

The following adopter categories—innovators, early adopters, early majority, late majority, and laggards—were identified through many empirical research studies shared by Rogers (2003):. Jaworowski (2013) studied three law professors teaching online courses to

determine the type of adopters—specifically innovators or early adopters. Each of the three teachers possessed characteristics of innovators.

A number of diffusion of innovation studies (Chong, 2012; Cole-Avent, 2008; Guggenberger, 2008; Jacobsen, 1998) delved into the adoption of computer technologies. Chong (2012) explored the attitudes of students in an online teacher education program toward the use of technology in the classroom, the barriers to adopting technology, and the perceptions these teacher candidates attributed to their educational program in terms of preparing them to incorporate technology in the classroom. Cole-Avent (2008) investigated the current state (level) of use of technology in student affairs from the perspective of leaders in information technology.

In terms of Rogers' (1995) adopter categories, student affairs personnel were found to be *late majority*. Guggenberger (2008) focused on the attitudes of special education teachers toward the acceptance and implementation of Assistive Technology (AT) and the relationships of teacher attitudes and presence of an AT Coordinator/Committee in terms of other variables such as grade level of students, type of disability, etc. No significant findings emerged among the independent variables, but a high percentage of teachers believed special education students benefited from use of AT. The researcher noted this finding was congruent with earlier studies. Jacobsen (1998) explored the differences between faculty who were quick to adopt computer technologies in their teaching and the slow or non-adopters.

Extent of Diffusion

A few studies used the diffusion of innovation theory (Rogers, 2003) to assess the extent to which an innovation has diffused. Hartman (2007) explored the degree to which an art-based teaching method, the Reggie Emilia Approach (REA), had spread in the United States. Developed in a town in northern Italy, known as Reggie Emilia, this approach was being taught

in early childhood education training programs in South Carolina, but no one knew how many educators were actually putting it into practice. Most adopters reported having used REA for the past year to year and half.

Rogers (2003) reported fully adopted innovations, when plotted on a graph, form an S-shaped curve showing adoption starts slowly. In some cases, a critical mass must be achieved for the innovation to fully diffuse. When a critical mass is achieved, the rate of adoption increases rapidly and then levels off as the innovation reaches saturation. Based on the S-shaped curve, Hartman's (2007) study revealed a slow, but steady increase in adoption, which indicated REA was in the early stages of adoption and had not yet fully diffused. Hartman also incorporated Rogers' five perceived attributes of innovation (relative advantage, compatibility, complexity, trialability, and observability) in her study of REA diffusion. The study showed teachers felt positive about the relative advantage, saw REA as complex and not compatible with the structure or focus of their schools, but compatible with their views. Trialability was mixed in terms of being able to implement a modified version of the program to meet their needs, and observability was low because few programs were using REA.

Diffusion Among Institutions

The studies reported thus far have dealt with adoption of innovations by individuals. Little was found in regard to adoption by organizations/institutions. Jacobson (2014) combined organizational theory and the diffusion of innovation as the foundation of her study. Interviews were used to discover the impact each of the five attributes of DOI theory had on local health departments' decisions to utilize evidence-based public health (EBPH) interventions as well as barriers to implementation of EBPH. More specifically, what "environmental/institutional

factors, innovation characteristics, and top manager characteristics that are factors in EBPH implementation" (Jacobson, 2014, p. 7).

Jacobson's (2014) study has been included here because three research questions are relevant to exploring the role of a policy administrator in institutions of higher education. 1) "What are the organizational pressures that are associated with the implementation of evidence-based public health interventions in local health departments (LHD) in Nebraska" (p. 12)? The parallel was, what were the pressures associated with the creation of a policy administrator role in regionally accredited institutions of higher education in the United States? 2) What are the characteristics of an evidence-based intervention that led to the implementation of these interventions in local health departments in Nebraska, following the Innovation of Diffusion theory" (p. 12)? The parallel was, what were the characteristics of the policy administrator position that led to adoption of a similar position in higher education institutions? 3) "What is the process that each LHD goes through when implementing evidence-based interventions within the departmental setting" (p. 12)? A similar question was asked about the establishment of a policy administrator position in an institution of higher education. Three of the DOI attributes (trialability, compatibility, and observability) were the most significant attributes in terms of implementation of EBPH interventions.

Glick's (2010) study was the only diffusion study identified related to higher education policy. It probed how institutions made policy decisions in response to legislation requiring the creation of an institutional policy to guide understanding and compliance with the law. Glick collected qualitative data through interviews and quantitative data through surveys sent to university attorneys and administrators.

Among the findings, was the concept of knowledge sharing among institutions in terms of specific policies as a way of informing good decisions. This is especially true when requirements were ambiguous. For requirements such as HIPAA (Health Insurance Portability and Accountability Act), where the government guidelines/regulations are quite detailed, universities were less likely to look to other institutions for guidance. Institutions were hesitant to depend on their own interpretation of requirements that are less detailed. While they seek to learn how other institutions have interpreted legislations, they were selective in the institutions they chose to look to for direction. Institutions looked to organizations for guidance, such as the National Association of College and University Attorneys (NACUA). In his dissertation, Glick described a form of policy diffusion among higher education institutions. However, Rogers' (2003) DOI theory was not referenced.

Glick (2010) found institutions were selective as to who they chose to emulate. This was consistent with an earlier study on the diffusion of state policy (Grossback, Nicholson-Crotty, & Peterson, 2004), which expanded the understanding of policy diffusion among states. They theorized that ideological similarities among states reduces uncertainty and was a key component in policy emulation versus mere proximity of one state to another. "Ideological information is critical because it helps government actors within a state determine how the electorate and other elites may react to a new policy" (Grossback et al., 2004, p. 525).

One test of the theory (Grossback et al., 2004) involved the adoption of state lotteries, which showed "Ideological similarity is both a statistically and substantively important predictor of the adoption of the lottery" (p. 532). Another test of their theory analyzed the adoption of academic bankruptcy laws – highly controversial policies that raised the need to reduce uncertainty. The findings identified

> The measure of ideological distance from previous adopters is highly significant and in the expected negative direction. States are less likely to adopt academic bankruptcy laws if they are ideologically dissimilar from those states that have previously adopted one (Grossback et al., 2004, p. 534).

Policy Categories

Polices affecting educational institutions were in one of two categories: public or institutional. Public policies were further divided into federal and state. Most studies analyzed a specific policy that fits into one of these categories. In an effort to assist undocumented students, Lizardy-Hajbi (2011) did not focus on one level of policy, but considered all three (federal, state, and institutional) in an attempt to understand strategies and resources used by colleges and universities to help undocumented students. Because of the ambiguity and inconsistencies found across the three levels of policy, the outcome of this study advocated for consistent and comprehensive policies at all levels for this population of students.

Public Policies

Policy studies published from 2004 through 2014 pertaining to higher education in the United States have been included either in this section or in the policy development section. The studies have been separated into federal and state policies.

Federal policies. Policies ranged from 2004 through 2013 and have been organized in Table 4 by year published from the most recent to the earliest for the selected time.

Table 4. Studies Related to Federal Policies

Author	Policy Topic/Purpose	Methodology	Findings
Natow (2013)	Scrutinized the U.S. Department of Education's political process of federal rulemaking in HE. Considered the involvement and influence of various	Qualitative embedded case study design. Selected 30 of 232 final HE rules published in the *Federal Register*. Data gathered from 1) semi-structured interviews, 2) archival rulemaking data,	Actors with the greatest power over the process were the president, Congress, Department of Education offices, and certain interest groups. Students were often more influential than expected.

Author	Policy Topic/Purpose	Methodology	Findings
	types of actors, and how political, economic, and social contexts influenced tactics used.	3) news articles regarding higher education rulemaking, and 4) websites related to HE rulemaking.	Text of the rules reflected the actors' beliefs they can influence rulemaking outcomes and prompted them to be involved in the process.
Rose (2012)	Analysis of the National Defense Education Act (NDEA) of 1958, the Higher Education Act (HEA) of 1965, and Title IX of the Education Amendments of 1972. Examined the effect policies had on the increase in women's HE attainment and the narrowing of the gender gap in political engagement.	Qualitative analysis of historical documents and archival resources. Drawing on existing datasets, quantitative techniques were used to "explain how federal HE policies have influenced the gender dynamics of social and political citizenship in the United States" (p. abstract).	By expanding access to women and men, both the NDEA and the HEA helped to narrow the gender gap in attainment of HE degrees that resulted from the G.I. Bill and changed the gender dynamics of American citizenship in terms of status. Title IX of the 1972 Education Amendment also opened doors for women and promoted gender equality.
Margetta Morgan (2010)	Role of financial information in college decision making: Implications for federal HE policy. Looked at the connection between policymaking and practice.	Phenomenological approach using criterion sampling. Data gathered via interviews with seven college-bound, high school students and eight parents in Massachusetts. Also employed observations, document reviews and brief interviews to analyze school, community, and economic and societal contexts.	With the shift in financial aid from grants to loans, the federal government's policy solution was primarily providing information for students and parents. The study suggested federal policymakers find ways to provide financial information without duplicating what is already available.
Miyokawa (2009)	International students' access to U.S. HE since World War II: How NAFSA has influenced federal policy. Study of the policy process behind	Case study focused on NAFSA using the Advocacy Coalition Framework (ACF) as a guide to examine "how international education	NAFSA strategies to affect policy change: (1) usually worked in a pro-international-student-access coalition, (2) regular meetings with

Author	Policy Topic/Purpose	Methodology	Findings
	legislation governing access.	professionals have influenced . . . the federal policy on international student access to U.S. higher education" (p. 112).	governmental agencies took a more proactive approach by the 1980s, (3) often urged its members to send letters to their Congress members, and write white papers and position statements advocating international student access.
Morinaka (2007)	HE and U.S. immigration – analysis of post 9/11 implications on U.S. HE for international students and sought recommendations for regaining the level American hospitality lost post 9/11.	Legal research and analyses of past, present, and proposed immigration laws. Qualitative analyses used to examine both primary and secondary source materials. Quantitative meta-analysis on the number of international students pre- and post-9/11. Descriptive data and correlations used to identify statistically significant changes.	"There is ample evidence to demonstrate that policy factors were one of the key contributors that changed the demographics of foreign students and scholars in the U.S. . . . It has been shown in a number of surveys that the primary reason that foreign students and scholars decided not to come to the U.S. is due to the visa application procedures" (pp. 193, 194).
Green (2006)	Comparative policy analysis of trends in HE – specifically the economic changes in federal policies moved from more grant-based to loan-based programs and the effect on low-income students.	Used a National Center for Statistics (NCES) longitudinal data set. Looked for effects of changes to federal needs analysis, mandated by 1992 reauthorization of the Higher Education Act, on low-income student access and attainment.	Concluded students and parents need to be able to assess their ability to access a college education and acknowledged a "troublesome combination of opaque and rapidly increasing costs in American higher education" (p. 340) making this difficult for low-income students.
Mays (2005)	Policy implementation of Section 504 of the	Reviews of written documents and	"All seven institutions responded well to the

Author	Policy Topic/Purpose	Methodology	Findings
	Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990 for students with learning-disabilities in Arkansas' four-year public institutions of HE. Examined manner and extent to which these Acts were being implemented by HE institutions	standardized interviews, this qualitative study collected data from seven 4-year public institutions and 36 students with learning-disabilities attending these institutions. Examined institution policies to determine extent to which the institutions codified federal law into written policy.	federal mandate protecting students with disabilities" (p. 95). All have written policy statements in response to Section 504 and the Americans with Disabilities Act. "Data suggest that more emphasis should be placed on equalizing funding for disability services across the state, in the interest of equity in services for all" (p. 97).
Acosta (2005)	Response to Federal Financial Aid Policy: Evidence from the Higher Education Amendments of 1992. One of three studies included in this economic effect of distribution of aid across student types.	Study 2 sample included only 4-year private institutions in 50 U.S. states and the District of Columbia. Most data came from the IPEDS finance survey and enrollment survey. Ordinary Least Squares (OLS) was used for analysis.	Revealed policy did help to lower the net cost of college for some students, but prevented students from lower-income families from obtaining grants, such as Pell.
Conley (2004)	Three essays in the economics of HE – only 2 pertained to policies. One essay analyzed "the effect on faculty allocation of effort of two public policy changes – the Bayh-Dole Act of 1980 and federal cost accounting rules regarding faculty compensation under federal research grants" (abstract). Second essay analyzed "effect on university resource allocation and on faculty	Principal-agent model used in the analyses of both essays.	Model in first essay showed "a funding threshold elicits the optimal grant-seeking effort if the university knows the agent's marginal cost of effort and if the agent is risk neutral and produces only one output (grants)" (p. 30). Second essay found, "To the extent that universities do not tie faculty compensation to the revenues their faculty

Author	Policy Topic/Purpose	Methodology	Findings
	allocation of effort of two public policy decisions – the Bayh-Dole Act of 1980 and cuts in state funding for higher education in the 1980s and 1990s" (abstract).		members generate, they are hampered in their efforts to adapt to changing market conditions" (pp. 63, 64).

State policies. Analysis of state policies published from 2005 through 2014 revealed five categories.

Funding of higher education. The greatest number of studies focused on funding of higher education, particularly performance funding (Gorbunov, 2013; Hanna, 2014) and stakeholders' perception of performance funding (Williams, 2005). Other studies addressed merit aid (Nilson, 2006), costs and tuition pricing (Trombella, 2011), and what influenced policies on funding (Sperling, 2007; Williams, 2014).

Accountability. Closely related to policies focused on funding were policies addressing accountability. Performance funding and accountability studies accounted for a little more than half of state policy studies during the eleven-year time frame. Implementation of performance funding and accountability in one state system (Albee, 2010) revealed needs in student support, restructuring and retraining of faculty and staff. Accreditation requirements emerged as a factor affecting performance policy implementation (Albee, 2010; Ramirez, 2010). Ramirez (2010) examined the variance in performance indicators compared to program completions in 26 states. Factors influencing implementation of performance measures included community context, institutional context, and the policy environment. Accountability was also reflected in reasons given by interviewees for implementing performance funding policies, (Hanna, 2014). Reasons

included “greater transparency, concern about abuses in the federal financial aid system, and low graduation and completion rates” (p. 104).

Roberson-Scott (2005) discovered the Tennessee state legislators interviewed perceived public “higher education institutions are not effectively demonstrating accountability” (p. 122) and Tennessee’s organizational structure and complex mission “do not adequately foster higher education accountability” (p. 125). As a result, it appeared the State’s accountability policies and practices have minimal impact. In the same year, Tanner (2005) reported perceptions of presidents of higher education institutions and the chief academic officers to be the opposite of the state legislators in Tennessee. These institution leaders believed the institutions were efficiently using taxpayer dollars; however, they posited performance funding and program review needed to be studied and possibly revised. There was also a belief on the part of institutional leaders that “key stakeholders such as legislators and the public-at-large were becoming increasingly difficult to satisfy in terms of questions related to accountability and were intruding into the education arena” (Tanner, 2005, p. 124).

Affirmative action. This was another popular category of study. White’s (2014) study of the preference of Black Americans regarding the use of race-based admissions policies revealed the majority of responses favored race-based admission policies. Chi-squared analysis revealed statistically significant relationships between increased age of respondents, higher education attainments, and higher levels of income were more likely to promote race-based admission policies. Individuals who experienced racism also preferred race-based admission.

A case study (Bailey, 2011) approach examined the outcome of the Texas Success Initiative voted in 2003 to improve college preparedness of Hispanic students. The study focused on the partnership of the University of Texas at El Paso (UTEP) and El Paso Community College

(EPCC). Texas aligned K12 through higher education curriculum. Policies impacting El Paso college preparedness were "analyzed in the context of the four McDonnell and Elmore policy instrument types – *mandates, inducements, capacity building and system changing*" (p. 37). A massive *inducement* was state funding for academic operations at UTEP and EPCC. Tuition deregulation in 2003 was a major negative *system-changing* event. The state *mandates* creating annual improvement plans, offering 12 units of college credit in high schools, and having a core transfer curriculum from the community college to the university, were positive influences.

Ledesma (2007) studied the impact of public narrative on race-based affirmative action policies by analyzing the University of Michigan's affirmative action cases, Gratz v. Bollinger and Grutter v. Bollinger. She posited "in the case of a controversial topic, . . . understanding how the language to explain the policy is *operationalized* is as important as understanding the policy itself" (p. 36). Findings revealed significant historical aspects of race-conscious affirmative action policy have been forgotten resulting in "the public's perception of affirmative action" being "reframed as an outdated quota and preference driven policy" (p. 73).

Using Latino critical theory as a theoretical framework, Cruz (2013) listened to the stories of five siblings to gain understanding of the implications of the State of Georgia's laws affecting undocumented students and their knowledge of admission policies. The students' daily lives were negatively impacted by state law – could only work illegally to support family; prohibited from paying in-state tuition and receiving federal and state aid, or obtaining a driver's license. And another concern was that police would arrest their parents.

Mendez's (2006) case study explored the factors leading to policy formation and activities resulting in the creation of a second University of Texas campus (UTSA) in downtown San Antonio to serve minority students. Continuing resentment to the location of the first UTSA

campus made accessibility for minority students difficult. A change in the organization of city governance made it possible for minorities to run for city council. Other factors included formation of a coalition, litigation against the governor of Texas over violation of Mexican-American constitutional rights, and the South Texas Border Initiative, which provided funding for a second campus.

Policy process. Using a policy network perspective as the theoretical framework, Mercado (2010) explored the participation and influence of Latino groups in higher education policymaking at the state level in Illinois. Findings revealed the overarching reason for the minimal impact of Latinos is the population included individuals from "different Latin American countries who share a common language, but differ in history, ethnicity, race, and educational background. These differences led to diverse immigration experiences and needs. . . . These same distinctions have worked against the formation of a homogeneous Latino group" (Mercado, 2010, pp. 181-182). Other studies (Davis, 2007; Hanna, 2014; Milner, 2013; Protopsaltis, 2008; Rayfield, 2004) addressed the issue of policy development, which are discussed in a subsequent section of this review.

Other. Policy topics included an alternative mechanism for teacher certification in Florida (Baird, 2005), Ohio's private education policy (Bessler, 2009), implementation of a statewide general education policy in Missouri (Carpenter-Davis, 2005), and an analysis of Massachusetts' college placement testing (Carpenter-Davis, 2005).

Institutional Policies

Each of the policy studies found published from 2004 through 2014 pertaining to higher education in the United States fell into two categories: 1) review of institutional policies impacting a specific higher education concern (e.g., diversity) (see Table 5) and 2) analysis of institutional policies to determine if they were accomplishing their intended purpose (see Table 6). Both tables organize studies by year published from the most recent to the earliest for the selected period.

Table 5. Studies Conducted on Institutional Policies Addressing Specific Higher Education Concerns, 2014 to 2004

Author	Policy Topic/Purpose	Methodology	Findings
Pflipsen (2014)	Focused on federal and state legislation and desired changes in student demographics in terms of racial and ethnic diversity at (HE) institutions in the Upper-Midwest region of the United States and whether or not intentional modifications were made in institutional policy to address changes in college student demographics.	Surveyed non-profit, public and private, 2- and 4-year HE institutions. Purposive sampling used to select 37 institutions from a population of 233. Survey included both quantitative and qualitative questions.	Average response (M = 4.18) on 6-point Likert scaled questions indicated slight agreement that institutional policies and practices are regularly reviewed to determine possible impacts they may have on student diversity.
Swain (2013)	Identify stated goals of policies to include diversity in the curriculum. Analyzed three aspects of these goals (i.e., learning mode, outcome, dimensions)	Used policy discourse analysis to study policies at 56 public, regionally accredited, predominantly baccalaureate-granting institutions focused primarily on arts and sciences	Learning mode—identified assumptions shaping the policies. Mostly acquisition of knowledge and some critical analysis. Outcomes—revealed wide range of learning outcomes.

Author	Policy Topic/Purpose	Methodology	Findings
			Dimensions—Dominant focus on cultural and international diversity.
Vennero (2011)	Correlated apparent benefit corporate social responsibility has on employee retention with its effect on student retention.	Selected 92 U.S. universities, comparing those with high-level social responsibility policies with those with low-level social responsibility policies. Conducted analysis using available sustainability data from *The College Sustainability Report Card* with retention rates available in the IPEDS database.	Integrating social responsibility policies in HE institutions was comparable to stakeholder management theory and positively influenced student retention rates.
Jaffer (2008)	Examined personnel policies and practices to determine factors inhibiting or enhancing the hiring of diversified faculty and best practices.	Qualitative case-study approach using semi-structured interviews with search committee members and administrators followed by a focus group and review of university documents and hiring policies and procedures (both university's and college of agriculture). Explored beliefs, assumptions, and values of individuals and recent ban on state's affirmative action programs.	Older male faculty tended to chair search committee and control the outcome. Ineffective recruitment practices, lack of pipeline for diverse students in agriculture affected the availability of future faculty. Lack of accountability in hiring process was one reason for ineffective diversity policies, and a chilly campus climate for minority faculty and women contributed to a lack of diversification of faculty.
Watson (2007)	Addressed concerns of both parents and HE administrators about parental involvement in HE—sought to inform	Three institutions—public university (13,000 students), private university (10,000), and private college (2,000)—participated. Current	Main concern: 1) for parents, was not understanding FERPA. 2) for administrators, number of parents who were not aware of parent

Author	Policy Topic/Purpose	Methodology	Findings
	future practices and policies.	parental involvement was assessed via an online survey to parents (N ≈ 3,128), including a request for suggested improvements in parent program. Shared survey data with administrators of the 3 sites via focus groups.	program. Primary focus for both groups was the students. Administrators should continually seek feedback from parents. Recommendation for program administrators: "Determine what the institution considers to be a supportive level of parental involvement for undergraduates and develop comprehensive, coordinated, campus-wide programs, practices, and policies that support this position" (p. 97).
Cardenas (2006)	Focused on Hispanic women faculty and investigated factors that may be predictors of their success with implications for policies and procedures.	Analyzed data from a national study conducted in 1999 relevant to academic career satisfaction. Placed faculty in four subgroups using a contrasted group design (i.e., 1) Hispanic females, 2) White, non-Hispanic females, 3) Hispanic males, and 4) White, non-Hispanic males) to compare experiences of Hispanic female faculty with the other three faculty groups.	Found consistently higher levels of dissatisfaction of Hispanic female faculty than other three groups. Factors important to academic career satisfaction of this population included: participation in administration-related activities, organizational fit, socialization, climate (including treatment of women and minorities), and economic rewards.
Schumann (2005)	Historical review of affirmative action landmark decisions at national level and how these decisions influenced admission policies pertaining to affirmative action at the University of Kentucky	Used social historiography methodology and case method of legal research (different from qualitative research case studies). Data were gathered from campus archival resources and	The UK College of Law had come a long way from total segregation in the 1940s to establishing a "full-file" review process in which race was a factor. However, this did not tell the whole story. Unwillingness to

Author	Policy Topic/Purpose	Methodology	Findings
	(UK) College of Law from 1908 through 2004.	interviews with current and former administrators and admissions officers of the College of Law.	share current practices, left researcher to speculate how admissions decisions were currently made in regard to minorities.
Radloff (2004)	Investigated outcomes of a required cultural diversity course on racial attitudes of undergraduates in hopes it would support a race-based policy at a predominately-white university.	Two studies: 1) Internet-based 85-question survey with answers based on a 5-point Likert scale (n = 1005) to measure students' racial attitudes and 2) Students tested using a pre/posttest design to mitigate against a testing effect. Some students answered the real posttest (n = 129) and some a placebo (n = 80).	First study revealed students who completed culture diversity requirement were not "less likely" to oppose race-based policy. Second study "clearly indicates that egalitarianism, affective prejudice, and economic individualism are dominant cues governing students' opposition to race-based policy" (p. 109).

Table 6. Analysis of Institutional Policies to Determine if They Accomplish the Desired Outcomes

Author	Policy Topic	Methodology	Findings
Reed (2013)	Examined current state of university social media policies and their application to teaching and learning	Gleaned policies from 49 U.S. university web sites using an Internet search. Qualitative analysis involved coding data to discover themes.	Policies directed at training faculty and staff, not students. Focused on best practices for representing the university in a positive light in social media, not aimed at teaching and learning.
Salinas (2013)	Analyzed the similarities and differences in state and institutional admission policies and	Quantitative descriptive statistical analysis of 5 state admission policies pertaining to undocumented students,	Strong disconnect between state policy and institutional policy and implementation regarding undocumented

Author	Policy Topic	Methodology	Findings
	their effect on undocumented students	compared to and contrasted with institutional admission policy within their respective state. Conducted analysis on data collected by NASFAA study (Burkhardt et al., 2012).	students. Resulted in inconsistent treatment of undocumented students from state to state and institution to institution leaving students not knowing expectations.
Waddell (2013)	Effectiveness of information security policies, and consistent enforcement of them, on frequency and severity of information security breaches in HE	Cross-sectional survey developed by a research study (Doherty & Fulford, 2005). Unlike previous study, this study collected survey data from IT executive information security professionals in HE.	Having an information security policy, policy enforcement, and information security awareness programs did not show significant differences in the number or severity of security breaches.
Owen (2012)	Disagreements over background checks – security versus privacy.	Examined experiences and history of the pre-employment background check policy at a specific institution. Interviews and document analysis used to develop a chronological account of events and influences related to creation of policy. Focused on learning and improvements occurring as policy evolved.	Highlighted issues to be considered in hiring process (e.g., better appreciation of concepts of need-to-know and right-to-know confidential information, better processes for collecting sensitive data, and adequate communication of what the term "finalist" meant in the employment selection process), left final conclusions to reader.
Selkirk (2011)	Process in development of policies created to support a consortium known as Great Plains IDEA—universities collaborating to offer degree programs participating institutions	Qualitative Document Analysis (QDA) used to review three policies: financial (one common tuition rate), leadership (membership of Board of Directors), and intellectual properties	Historical best practices for consortia and gaps for consortia to address in the future.

Author	Policy Topic	Methodology	Findings
	did not have resources to offer on their own.	(course ownership). Data gathered from documents: meeting minutes, interviews, emails, and institutional websites.	
Workinger (2011)	Admission policies regarding timing of declaration of a major and relationship to student outcomes.	Explored relationship of retention rates of first- to second-year students with three levels of structure in admission policies related to declaration at time of admission: 1) no declaration of a major, 2) required to select an academic college, but not a major and 3) declare a major. Data included admission policies gleaned from university websites and matching data with IPEDS data. Selected a disproportionate stratified (by size) sample of 381 U.S. universities.	Institutions with high or low structure to declaring a major had low first- to second-year retention rates. Those with medium structure (i.e., required to choose an academic college) had best retention rates. However, patterns varied based on institutional characteristics.
D. K. Walker (2008)	Examined current university policies to determine if they met needs of students with physical disabilities and whether academic experience was the same or different for minority compared to non-minority students.	Compared data collected from interviews with 12 students and 3 administrators who worked with students with disabilities and reflections of own experiences as a minority student with a physical disability, with current university policy at University of Illinois, Urbana-Champlain (UIUC).	For the most part, the 5 policies reviewed served the students well. There were a few minor issues, but in most cases, these issues did not alter students' overall perceptions of their experiences or of UIUC in general.

Author	Policy Topic	Methodology	Findings
Sampson (2004)	Explored selected California community colleges campus policies, procedures, and practices designed to regulate faculty classroom speech and evaluate consistency with constitutional, legal and/or academic freedom principles in HE.	The sample of community colleges (n = 9) for this qualitative study came from 3 southern California college districts. Data collected via surveys and interviews with administrators.	"Administrators interpreted and applied institutional regulations more on the basis of personal ideology rather than by a clear institution-wide standard of values. . . . How policies were enforced had a lot to do with current social issues" (p. 202).
Cantu (2004)	Identified policies and practices affecting admission and retention of Hispanics in HE.	Delphi method used to survey opinions of experts (i.e., education of Hispanics, creation of HE policy and practice and or Texas legislature) to arrive at a consensus on the topic of study. Eleven expert panelists participated.	Policies having a negative effect included the Texas Academic Skills Program (TASP), use of the SAT for admission and awarding of scholarships, and tuition costs. TASP and SAT were useful in assessing strengths and weaknesses to help students' success, not close the door to education. Identified 13 items as facilitating admission (e.g., affirmative action, dual credit classes in high school, faculty diversity). Identified 25 items as facilitating retention (e.g., academic & career counseling and mentoring, work-study opportunities and internships, academic support of students by faculty inside and outside of courses), one item hindering retention (i.e., tuition cost).

Policy Development

Considerably more has been reported about the development of public policies than development of institutional policies.

Public Policies

A number of policy development studies have been based on Kingdon's (2011) three streams theory. Some studies used Kingdon's three streams theory in conjunction with other theoretical frameworks, Mazzoni's (1991) theory, and other miscellaneous theories.

Three streams theory. Literature on the topic of public policy recognized John W. Kingdon's research as a major contribution. In the forward to Kingdon's *Agendas, Alternatives, and Public Policy* (first published in 1984), John A. Thurber referred to the three streams theory as "a classic in the literature of how and why policy issues rise and fall from the U.S. government's agenda" (Kingdon, 2011, p. vii). His work was based on extensive research including (but not limited to) 247 in-depth interviews with high-level decision makers and other experts in health and transportation policies.

In 1984, Kingdon theorized three independent "streams" must come together for an issue to rise on a public policy agenda for consideration and as a decision. The first two streams were identification of a problem and a solution. Often, solutions were sought when problems arose. This was not always the case, however, as some ideas were conceived or observed in another environment (as another state) that had little or no impact until a problem arose for which the former idea was seen as a solution. "Risk-adverse policymakers are far more likely to espouse solutions first because they fear the reverse may create expectations they cannot meet because they cannot solve highly complex problems or because they risk being 'forced' to adopt nonpreferred solutions" (Zahariadis, 1999, p. 83). A problem and solution may not result until an

event happens (the third stream) that raises the proposed policy high enough to be considered on the legislative agenda.

These three streams (problem recognition, policy proposal/solution, and policy event) did not typically come together by happenstance. Kingdon's research revealed a "policy entrepreneur" played a key role in facilitating the convergence of the three streams by being attentive to opening "windows of opportunity." Mintrom and Norman (2009) defined policy entrepreneurs as "advocates of policy change" (p. 649). Fifteen of 23 case studies, conducted by Mintrom and Norman, coded entrepreneurs as very or somewhat important. Three cases found the entrepreneurs to be unimportant. Kingdon's theory differed from other scholars who described the policy process as a progression of stages or steps (Cohen-Vogel & Ingle, 2007).

Although Cohen-Vogel and Ingle (2007) used the terms stages or steps, their concepts were similar to Kingdon's (2011) finding during the adoption stage, in which the problem was held in a queue until it could be coupled with a policy solution; two of the streams identified by Kingdon. Once adopted, the process was followed by "two post-enactment stages: implementation and evaluation" (Cohen-Vogel & Ingle, 2007, p. 258). They identified the necessary role policy entrepreneurs contributed in moving a policy from the queue to adoption by helping policy makers relate to a policy and its relevance to a current situation.

Studies based on the three streams theory. Mahan (2008) considered causes for federal legislation regarding higher education policies to be passed or rejected using Kingdon's three streams theory. Mahan traced the history of several bills (e.g., Morrill Act of 1826, Serviceman's Readjustment Act of 1944, Higher Education Act of 1965) identifying the three streams: problem stream, policy stream, and political stream. In his historical review, Mahan validated Kingdon's

theory by showing the three streams come together at the same time. He identified policy entrepreneurs as instrumental in moving bills to acceptance.

Klein (2013) applied Kingdon's three streams theory in a case study on the allocation of HE stimulus funding in New Jersey. In 2009, the American Recovery and Reinvestment Act (ARRA) provided funding to states to relieve some of the extreme effects the recent recession had on education (K-12 and HE). The governor of New Jersey chose to use money allocated for HE to provide a state-backed financial aid program. The ARRA required states to use Education Stabilization Funds to restore state support directly to public HE institutions to keep the cost of tuition down, not to provide financial aid to students. In fact, the U.S. Department of Education prohibited states from using these funds for financial aid.

The problem (first stream) was the discrepancy between the governor of New Jersey's allocation of money and the requirements of ARRA. As policymakers received feedback from public colleges and universities, distribution of these funds was rising on New Jersey's policy agenda. The advocates were what Kingdon referred to as *policy entrepreneurs*. "In this case, the policy entrepreneurs included presidents of public colleges and universities, higher education advocates, and the leaders of the state's faculty union" (Klein, 2013, p. 9). These advocates used a number of methods described by Kingdon (2011) to *soften up* the policy community and the general public to be supportive of the proposed change.

Direct funding to HE institutions was created as the *alternative* (also referred to as the policy proposal/solution) to funding of students aid programs. This is the second stream. "If an alternative is coupled to a problem as a solution, then that combination also finds support in the political stream" (Kingdon, 2011, p. 178). College and university presidents played a key role as policy entrepreneurs in coupling these two streams (problem and alternative) to open the *window*

of opportunity to create the political (third) stream. In the end, policy entrepreneurs directed funding to the colleges and universities instead of funding student financial aid programs.

Kingdon's (2011) three streams theory was the conceptual framework Redding (2009) based his comparative case study analysis of the adoption process of autonomy policies in Oregon and Virginia. Table 7 identifies each of the three streams in this case study analysis. Policy entrepreneurs played key roles in both states.

> OHSU's [Oregon Health and Science University] officials, functioning as policy entrepreneurs, pursued their autonomy agenda through the open "window of opportunity" created by the economic challenges facing Oregon by the changing health care marketplace and the demands of this new marketplace on OHSU's operating flexibility, and by a newly elected governor and Republican legislative leadership that supported OHSU's policy agenda (Redding, 2009, p. 86).

Similarly, in Virginia, the policy entrepreneurs who coupled the three streams into final legislation included the governor, executive branch secretaries, three institutions, and the legislature. "Campus officials, functioning as policy entrepreneurs, pursued their autonomy agenda through the open 'window of opportunity' created by the economic challenges facing Virginia" (p. 155).

Maguire (2008) claimed her study of the development of a distance education policy for three HE institutions in a statewide system was guided by Kingdon's (2011) three-streams theory. Unlike other studies (Klein, 2013; Redding, 2009) on policy development, Maguire (2008) did not identify each of the streams identified by Kingdon in the initial policy development. Referencing state documents on distance education, she commented, "The document analysis does not provide . . . how distance education policy was developed. . ." (p. 100). Based on her research questions and the interview questions, her focus was on faculty involvement and perceptions of distance education, not in development of the distance education policy at each institution or at the state system level. She attempted to apply the three streams

concepts to faculty perceptions of existing policy. "The findings of this study reflected faculty's concerns with current distance learning policy (problems), their recommended solutions to those concerns (policies), and the lack of focus on contextual issues like faculty type, power, and politics that impact them (politics)" (Maguire, 2008, p. 192).

Table 7. Oregon and Virginia Policies Based on Three Policy Streams of Kingdon's Framework

	3 Streams		
State Legislation	Problem	Policy	Political
Oregon's Restructuring Act	• "Reduced state support • Cumbersome and inefficient state bureaucracy • Pressures of a changing health care marketplace" (Redding, 2009, p. 54)	OHSU's president "convened the team of internal and external advisors to consider options for keeping the institution viable in the face of decreasing state support and increasing competition. . . . becoming a public corporation became the policy agenda" (Redding, 2009, p. 69).	OHSU senior leadership solicited support of faculty, students, and represented employees (internal campus politics) and legislative leaders from both political parties (external political support).
Virginia's 2005 higher education "Restructuring Act"	• "Erratic state funding • Unnecessary state bureaucracy • Tuition-control policy from governor and General Assembly • Fundamental need for greater operating flexibility" (Redding, 2009, pp. 125-126)	Came from two competing agendas: Three institutions in the state launched their autonomy policy agenda by introducing the Chartered Universities Initiative and governor created a policy framework by identifying 11 performance goals for HE institutions to address state's educational needs.	Three primary political streams in this case: "1) institutional opposition to the charter proposal, 2) alliance of key political actors, and 3) autonomy/account ability trade-off" (Redding, 2009, p. 150).

Hanna (2014) utilized Kingdon's multiple streams (MS) theory to determine why each of three states (Washington, Illinois, Ohio) chose to adopt performance funding. The decision required identification of a problem and policymakers seeing performance funding as the solution.

Studies based on the three streams theory coupled with other theories. Davis (2007) used two theoretical frameworks in addition to the MS theory to explore changes in mission for two universities in Utah. He used punctuated equilibrium, which "focuses on the common pattern where policymaking is characterized by relatively long periods of stability and incremental changes in policy, interspersed by occasional short, punctuated periods of rapid and comparatively radical policy change" (p. 4). The third was Sabatier and Jenkins-Smith's advocacy coalition framework dealing "with long-term policy changes that take place over periods of a decade or more and focuses on the policy subsystem in which advocacy coalitions are formed to coordinate actions and resources to influence policy decision" (p. 4). The MS theory was the most comprehensive in understanding the policymaking process in Davis' study; however, the other two frameworks provided further clarification.

Protopsaltis (2008) coupled Kingdon's MS punctuated equilibrium theory (PET), and advocacy coalition framework (ACF) to study Colorado's process in developing a policy instituting the first state's postsecondary education voucher system. A second goal was "to assess the explanatory potential and limitations of different theories" (p. 31). Protopsaltis concluded MS theory stands alone in promoting the benefits of a policy entrepreneur in persuading adoption of policy. The PET did not explain the selection of a particular policy change and the ACF did not provide causal processes for policy changes. The MS explained how the economic and budget crisis in Colorado failed "to account fully for the possibility of two windows being

opened simultaneously and an incrementally developed solution within the policies stream becoming coupled with a rapidly remerged or redeveloped idea" (Protopsaltis, 2008, p. 477).

Mazzoni's framework. Mazzoni created a conceptual model for studying education policy development and identified two major arenas (i.e., subsystems, macro). In this context, he defined *arena* as "a middle-range term, referring to the political interactions characterizing particular decision sites through which power is exercised to initiate, formulate, and enact public policy" (Mazzoni, 1991, p. 116). Subsystems arenas included special interest education groups, politicians, etc. and the macro arena involved the general public who can exert pressure for policy change. He applied this to K-12 school choice in Minnesota and found it to be too limited. Policy innovation results from a shift from one arena to another. Policy entrepreneurs often facilitate these shifts. Based on the Minnesota study, Mazzoni expanded his arena model to include the commission arena and the leadership arena. "Though the revised model corrects the most obvious shortcomings in the initial model, there is still much work to be done" (Mazzoni, 1991, p. 132).

Studies based on Mazzoni's framework. Using Mazzoni's framework, Messenger (2007) conducted a historical case study to examine seven variables (i.e., actors, goals, resources, motivation, strategies, setting, and interactions and outcomes). Messenger applied this framework in the development of a U.S. trade policy and inclusion of higher education in the World Trade Organization's (WTO) General Agreement on Trade in Services (GATS). Data were collected through archival documents and informal and in-depth interviews with "high-level professionals from the organizations involved" (p. 96). Individuals interviewed had positive, negative, and neutral views. The study revealed four major actors (i.e., the United States Office of the Trade Representative [USTR], the Center for Quality Assurance in International

Education [CQAIE], American Council on Education [ACE], and Council on Higher Education Accreditation [CHEA]), and strategies they used to influence development of the policy and outcomes of the attempts to influence.

Rayfield (2004) investigated the effectiveness of Mazzoni's (1991) arena model in understanding the politics and processes involved in a change from representative democracy (legislative-based policymaking) to direct democracy (policy decided directly by voters), specifically in terms of Florida's constitutional Amendment 11 of 2002. The creation of Amendment 11 "was a result of a unique series of events in a bounded time period, which ultimately prompted a group of policy entrepreneurs . . . to identify an alternative method of policymaking through the constitutional amendment process" These events included "unpopular decisions made by the board of regents . . . extremely powerful legislative leadership, and an unlikely coalition of state legislators" (Rayfield, 2004, p. 121). In this study, Mazzoni's arena model did not adequately describe the process of policy innovation.

Studies based on other frameworks. Milner (2013) used event history analysis (EHA) to investigate state policy innovation pertaining to distance education – specifically the probability of a state adopting a policy to regulate regionally accredited, out-of-state institutions teaching within the recipients' states. For states that passed policies regulating out-of-state distance education, statistically significant findings showed the primary predictors included state median income (refers to the income of the entire state) per thousand (obtained from the American Community Survey of the U.S. Census) and centralization of higher education. Both had positive influences on creating a policy. Interstate policy migration, defined as "the process by which policy innovations spread across groups or regions of states" (Milner, 2013, p. 12) and presence of an organized non-public higher education advocacy group had negative influences

on policy adoption. The primary motivation for states to adopt a policy on delivery of distance education was consumer protection.

Michelau (2010) pursued the following question, "Under what conditions are interstate policy organizations perceived as influencing state policy decision-making processes in higher education?" (p. iv) as a way of discovering a "contextualized account of state policy decision-making processes" (p. 1). Data were collected via interviews, including staff from interstate policy organizations, and surveys. In addition, two case studies followed the process for a policy initiative on outcomes-based funding of higher education institutions in Colorado and Texas.

Institutional Policies

Studies of institutional policy did not focus on development as much as policy systems, policy review processes, and policy alignment. The one study (Glick, 2010) related to institutional policy development is discussed in the section on policy diffusion.

Policy systems. Motivated by the charge for Utah Valley State College to become a regional state university (now Utah Valley University (UVU)), the new president launched an initiative to revamp the college's policy system. This initiative started with the appointment of a policy administrator—"a position dedicated to the coordination and supervision of the institution's policy work" (Clark et al., 2012, p. 14). The policy administrator set up a Policy System Design Taskforce, which took a case study approach to document the efforts to reform UVU policies. UVU benchmarked with other universities in the state as it reviewed its institutional policies and policy processes, investigated systems for the administration of policies in an iterative and systematic way, and created a policy to govern policies (a meta-policy). Clark et al. (2012) described an institutional policy system as one that included the institution's policy set or policy manual, policy resources (one resource named is a policy office or personnel),

policy users, policy makers, and the relationships/interactions of these system components with one another.

The first phase of UVU's taskforce was to recommend improvements to the institution's policy system (i.e., new policy approval process, develop a policy governing policies). Transferring policy administration from Human Resources to the Executive Division allowed "policy work at the institution to be overseen from a more central and neutral location, free from divisional and departmental conflicts" (Clark et al., 2012, p. 15). The second phase included creation of the Policy Research Taskforce to benchmark both UVU policies and its system with other Utah institutions.

UVU's approach was based on a study (Achtemeier & Simpson, 2005) conducted by the University of Georgia (UGA) in 2001 and early 2002 to learn how to improve the use of benchmarking as an accountability method in HE. From among the University administration, faculty, staff, and the state governing board, three key individuals were selected for in-depth interviews to gain each one's perceptions of the process and value of benchmarking as a method of accountability. This study came two years after the UGA's governing board required all HE institutions in Georgia to participate in a benchmarking project.

Out of Achtemeier and Simpson's (2005) study came the term *benchmarking*, which does not mean the same thing to everyone. Three definitions emerged (i.e., process benchmarking, metric benchmarking, and goals and milestones). The definition of *process benchmarking* came from the business world where, once a problem has been identified, one seeks to find another institution whose performance with the problematic area has been exemplary. UVU did not find an exemplary institution so chose to use *metric benchmarking* in which an institution evaluates its performance by comparing with several institutions.

The third phase of UVU's research was an attempt to benchmark components of its policy system with out-of-state institutions. A list of 12 peer universities was obtained from the National Center for Higher Education Management Systems (NCHEMS) referred to as the *NCHEMS 12*. The plan was to contact policy administrators by phone and survey these individuals, but this was difficult. Only two surveys were received from NCHEMS 12 institutions and UVU people concluded "the difficulty in finding policies and policy personnel at these universities is indicative of the prevalence of the policy paradox at institutions of higher education in the United States" (Clark et al., 2012, p. 20). In the end, the UVU taskforce resorted to Internet searches for out-of-state U.S. universities with policy online resources. This search identified 40 institutions of which 12 universities had multiple resources, referred to as the *Policy Resources 12.* Eleven of the *Policy Resources 12* institutions and two of the NCHEMS 12 institutions had policy offices or policy personnel focusing on the one resource this dissertation is researching—policy administrator position,

Policy review process. At the time of the Blobaum et al. (2005) study, ACUPA was an informal gathering of universities connected via a list serve. (In 2014, ACUPA was formally organized as a non-profit organization.) Their survey of the membership explored the policy development processes at higher education institutions, institutional characteristics, and the background of the policy person. Twenty-four of 135 members responded to the survey; half identified their institution as a doctoral or research university. The survey included questions regarding the background of the policy person and the level of university governance to which they reported. "Due to the small number of respondents, the survey format, and the ambiguity of some answers to survey questions; it is difficult, and probably unwise, to draw conclusions" (p. 6).

To develop a policy review process, an Australian university turned to literature, but found little pertaining to the review process. What they found pertained to public policy, which was difficult to apply to higher education. Harvey and Kosman (2014) took a case study approach to review the assessment policy at their institution as a way of developing a HE policy review process. Data were collected through interviews with individuals in departments. The institution-wide policy framework they developed was built on four "core principles of transparency, accountability, responsibility and equity" (p. 89). Some of the key findings revealed the importance of a "constructive and pragmatic framework for the policy review process" and "multi-level support" (p. 95).

Earlier Freeman (2012) conducted a study of Australian universities from publicly accessible meta-policies (policy on polices) at 37 public universities and 3 private universities looking at how meta-policy defined policy review as well as approaches and systems in place to facilitate review. Across the universities, review cycles ranged from two stages (i.e., draft and approve) to multiple stages, which included, drafting and approving, implementing, monitoring and evaluation, and reviewing policy text and implementation. Some meta-policies stipulated time frames for review ranging from two to ten years, depending on the university. Most did not have a plan of action if specified time frames were not met. One university stated if a policy had not been reviewed within three years, it was eliminated. No mention was made regarding how this applied to government-mandated policies. The researcher commented "this suggests that it is not necessarily the timeframes [sic] that are problematic but the commitment of organisational [sic] resources to support the review function" (p. 98). Resources to support policy review were identified as recommended evaluating processes, benchmarking, review of best practices, etc. No

mention was made of a university office or personnel (either centrally or by subunit) with responsibility to see these review processes took place.

Building on her study of policy review processes (Freeman, 2012), Freeman et al. (2014a) initiated a study labeled the Institutional Policy Project 2013, which compared policy practices in New Zealand and Papua New Guinea. Additionally, Freeman included universities in the United States because of "the pre-eminence of United States' universities in international rankings" (p. 31). The focus of this study was on how higher education institutions created policy, envisioned the policy cycle, and managed institutional policy.

Using convenience sampling, email invitations were sent to the list serve of the Association of College and University Policy Administrators (ACUPA) in the United States (US); and to potential participants in New Zealand (NZ) and Papua New Guinea (PNG) via established professional contacts and snowball sampling (Freeman et al., 2014a), resulting in 72 surveys received (i.e., 58 from the US, 10 from NZ, and 4 from PNG). U.S. institutions represented five Carnegie classifications, with the largest representation from doctorate granting universities. Semi-structured interviews were conducted with 39 participants representing 21 from the US, 11 from NZ, and 7 from PNG, but no mention was made as how interviewees were selected.

A similarity emerged in regard to the creation of institutional policy often addressed as government regulations to be implemented by institutions. The reasons for creating policies varied within as well as across countries. Various policies dealt with mission, increasing organizational efficiency, and risk reduction, in addition to addressing government regulations. The concept of a policy cycle was relatively similar among the three countries; however, the review process involved different steps. For example, percentages of respondents (not sure if

these respondents represented unique institutions or if some were multiple individuals from one institution) who included steps such as consulting students, monitoring policy implementation, evaluating policy implementation were considerably more frequent in NZ institutions than in US. The US response (44%) was considerably more frequent than NZ (25%) in benchmarking against other institutions' equivalent policies. PNG institutions were not included in these comparisons because their policy cycle did not include formally articulated requirements. For PNG institutions, the policy cycle was a more continuous review process.

For most survey respondents, policy review included the creation of a meta-policy (policy on policy) in the US and NZ, but not for PNG institutions. A number of the reasons for creating a meta-policy were similar (e.g., increasing transparency in the policy process and to embed good policy practices). While the following reasons were given by some institutions from both US (n = 36) and NZ (n = 7), the US reporting of the following reasons were more frequent: increase accountability regarding the policy process (US 78%, NZ 57%), increase consistency in policy texts (US 72%, NZ 29%), and in response to an external authority's requirement or recommendation (US 19%, NZ 14%).

As an organizing framework, Freeman et al. (2014a) grouped policies into three broad categories: governance, academic, and administrative. The study further looked at policy practitioner's involvement in the following aspects of policy: drafting policy involving input from staff, research and benchmarking; custodianship of the policy process; ensuring policies adhere to the requirements of the institution's meta-policy; management of the policy library; and monitoring policy implementation, evaluation, and review. The percentage of practitioners involved in each of these aspects varied among respondents as well as among the three countries. About half of the respondents from each the US and NZ reported having a "policy-dedicated

human resource." Of institutions who reported having a policy-dedicated human resource, more than three-fifths (US 62%) and (NZ 67%) reported these individuals were centrally located in their institutions. In contrast, respondents from PNG reported their institutions did not have a policy-dedicated human resource.

In terms of compliance, Freeman et al. (2014a) contrasted US institutions' perspective on compliance with that of NZ. In the US "institutional policy is conceived as a compliance mechanism that intersects government requirements and institutional operations" while NZ respondents viewed "compliance in terms of ensuring that institutional staff and students comply with institutional policy" (p. 47).

Policy alignment. At the University of Arizona, Galilee-Belfter (2012) analyzed the practical aspect of policy alignment with institutional practice and how policies "potentially impact the experiences of students with learning disabilities" (p. 12). Ambiguous polices resulted in a "lack of accountability" in terms of "fairness and equity" as well as raised questions regarding "institutional values and priorities" (p. 163). No mention was made of who at the university should be responsible for overseeing this alignment.

Policy Diffusion

Karch's (2007) meta-analysis of policy research revealed answers to three questions. Two of these questions were particularly relevant to this literature review because they addressed the concept of diffusion. "Why does policy diffusion occur" (p. 55)? Three reasons have been proposed as explanations for the policy diffusion phenomenon: simple imitation, process of emulation, and process of competition (Karch, 2007) as a review of the works by several scholars. On the diffusion of a specific policy: state-funded merit aid program; Cohen-Vogel,

Ingle, Albee Levine, and Spence (2008) arrived at these three reasons based on their qualitative study.

Types of Diffusion

Simple imitation. When policy-relevant characteristics, such as demographics and policies, are observed in a jurisdiction, the adopting policymaker promoted use of the same policy in his or her jurisdiction. Cohen-Vogel et al. (2008) referred to this as "convenience."

Emulation. When a decision maker observed successes or failures in another jurisdiction, they attempted to equal or excel in similar policy areas. Policymakers considered both the ways in which another state's policy achieved its goal and where it may not have; then modified the policy to work within the setting of their state.

Competition. In the case of education, some policies were created as the result of pressure to compete with neighboring states for students. An example is a case study (Cohen-Vogel et al., 2008) looking at the diffusion of broad-based merit aid in a number of southern U.S. states. The diffusion of the merit-aid policy among states was to counteract "brain drain" (p. 351) or keeping our "best and brightest" (p. 351) from attending out-of-state schools offering merit-aid.

Cohen-Vogel et al. (2008) identified "policy communities" in which professional organizations and associations played a key role in promoting a policy. Karch (2007) saw organizations and associations as "actors" who promoted the process and considered one of their primary purposes was to make members aware of pertinent policy information as it develops. In addition to organizations and associations, the federal government caused policy diffusion by enacting laws requiring follow-through by state policymakers. Allen, Pettus, and Haider-Markel (2004) refer to this as "vertical diffusion" (p. 319).

"What is being diffused" (Karch, 2007, p. 55)? The simple answer was *content.* But, how content may be modified in the diffusion process "suggests whether the process is being driven by emulation, imitation, competition, or another factor" (p. 69).

Policy Entrepreneur

Mintrom (1997) hypothesized "Policy entrepreneurs constitute an identifiable class of political actors. Their presence and actions can significantly raise the probability of legislative consideration and approval of policy innovations" (p. 738). Using event history analysis, Mintrom studied the approval of school choice, an idea of education reform. School choice broke the tradition of students being required to attend a school based on where their family lives. This study included all 48 contiguous U.S. states from 1987 through 1992. Policy entrepreneurs were involved in this legislation in 26 states and their involvement significantly raised "the probability of legislative consideration and approval of school choice as a policy innovation" (p. 738).

Based on one goal of policy entrepreneurs, promoting change, Mintrom and Norman (2009) proposed four basic "elements" of policy entrepreneurship: "social acuity, defining problems, team building, and leading by example" (p. 651) noting some policy entrepreneurs showed strength in some (not all) of these elements. "For example, Mintrom observed that some policy entrepreneurs were more effective at operating in networks (which relates to social acuity) and promoting and maintaining advocacy coalitions (which relates to team building)" (p. 651). One aspect of team building demonstrated by policy entrepreneurs was drawing on the skills and knowledge available through personal and professional networks. Mintrom and Norman cited two studies (Mohr, 1969; Walker, 1969) as empirical evidence of primary ways policy entrepreneurs demonstrated social acuity. First, they revealed the most effective individuals in promoting "change in specific contexts have typically acquired relevant knowledge from

elsewhere" and second, "by understanding ideas, motives, and concerns of others in their local policy context and responding effectively" (p. 652).

Development of New and Emerging Occupations

New occupations/professions have emerged because of innovations such as the Internet (e.g., computer security and managing the Web), new medical treatments (e.g., medical dosimetry), robotics in manufacturing, and managing data through geographical information systems (GIS). Changes in business practices involving the Internet have created a need for privacy officers to ensure employee confidentiality. Distance education has created the need for new occupations such as instructional designers. Changes in legislation may result in a need for human services and compliance officers. (Crosby, 2002).

An example of a profession resulting from legislation was the U.S. Department of Education's 1972 mandate for Title IX Coordinators to be designated by educational institutions. The reality of this did not become apparent for many institutions until almost 30 years later when the Office of Civil Rights (OCR) sent a Dear Colleague Letter on April 4, 2011 shedding light on the expectations for such a position. This letter caused quite a stir, launching a new profession and a new field (ATIXA, n.d.)

Changing Roles and Titles

Getsay and Rudowsky (2013) conducted a content analysis of academic library directories (from library web pages) to determine the prevalence of "serial" librarians based on the usage of the term in job titles. The availability of electronic journals changed the way serials are managed. Based on size and geographic regions of the United States, stratified purposive sampling was used to create ten lists of fifty schools. Systematic random sampling reduced this total number of 500 institutions to a sample of 100. Similar sampling techniques were used to select a sample of

international institutions. Of the U.S. institutions, 10% of the titles included the word "serials" and another 8% used a synonym for serials compared to 17% and 7%, respectively, for non-U.S. institutions. The actual titles of the "serials" librarians varied (i.e., "serials, serials librarian, serials acquisitions librarian, serials & acquisitions librarian, serials management librarian, electronic access & serials librarian, electronic resources & serials librarian, and reference & serials librarian" (p. 380)).

Gaston (2014) raised a concern whether academic job titles confused people working within and outside of HE. One example is labeling the chief academic officer position (e.g., provost, executive vice president, vice president for academic affairs).

Emerging Roles

Cooper and Crum (2013) searched literature and job announcements from1990 through 2012 to find emerging roles for health science librarians. Of the 515 citations found, 91 duplications were eliminated and another 346 citations were eliminated because they did not meet the inclusion criteria—a *substantive* description implying the role actually existed versus a proposed role. Lastly, 28 articles were excluded because they "did not describe actual new roles" (p. 269), resulting in 50 articles to review in depth. Findings were categorized as *new roles* and *new twists on old roles* (Table 8).

Table 8. New Roles and Twists on Old Roles for Librarians in the Health Sciences

Role	Description/Function
New Roles	
Embedded librarian	"Brings the library and the librarian to users in their work environment, wherever they are" (p. 269).
Systematic review librarian	Summarized "literature that assesses and evaluates studies on a particular issue (p. 271) . . . serve on systematic review teams

Role	Description/Function
	and often are coauthors of published reviews" (p. 272).
Emerging technologies librarian	"focuses on the methods that libraries can use to deliver services and information with new technologies. . . . design, develop, and manage their libraries' website" (p. 272).
Continuing medical education (CME) librarian	"work collaboratively on CME teams" to "help clinicians maintain, develop, and increase their knowledge and skills" (p. 272).
Grants development librarian	"become resources for information about available grants and can use their expertise in the grant-writing process" (p. 272)
Digital librarian	"oversight of digital library projects, and leadership and expertise in digital library areas" (p. 273).
Metadata librarian	"While metadata are often defined broadly as 'data about data," librarians generally use the term to mean descriptive metadata that helps users access information, much like a catalog card file helps users locate a book in the library" (p. 273).
Scholarly communication librarian	"More recently, the definition" of scholarly communication "has been broadened to include the creation, transformation, dissemination, and preservation of knowledge" (p. 273).
Translational research librarian	"Translational research connects basic research to patient care by promoting the translation of research discoveries into clinical applications" (p. 274).
New Twists on Old Roles	
Clinical medical librarian	"Biomedical librarians were placed in a patient care setting. They could attend rounds, note questions asked, and go back to the library to find the answers and make

Role	Description/Function
	photocopies of the relevant articles for the clinical team" (p. 274)
Instruction librarian	"teaching other related nonlibrary services such as how to best use bibliographic managers (EndNote, RefMan, and others) and to use academic teaching services such as Blackboard, Google Documents, and other platforms that are used in instruction" (p. 274).
Outreach librarian	"usually means providing information to rural practitioners. But outreach can mean reaching to users in one's own institution" (p. 274).
Consumer health librarian	Reaching out to the community. "For example, librarians offered pamphlets at health fairs and other community meetings" (p. 275).

Shank (2006, p. 517) conducted an exploratory study of what he labeled "newly emerging position of Instructional Design Librarian." The purpose of the study was to "determine the positions' core qualifications and job responsibilities" based on the review of job announcements. Difficulties were encountered in searching for information. Because of the recent emergence of the position, no agreed upon nomenclature for the title existed. Titles such as instructional technologist and instructional designer perform different roles. For this reason, Shank narrowed his search to titles including only the terms *instructional design/er* and *librarian*. He had to search a variety of sources (e.g., library journals, websites for jobs, *The Chronicle of Higher Education*, and *Educause*) to find 10 unique position announcements. The availability of information was inconsistent (e.g., tenure and faculty status, salary ranges, and reporting structures). All announcements required or preferred a master's degree in library science. Other required and desired qualifications varied widely, but there were also noteworthy

similarities (e.g., required knowledge of Web and multimedia software and skills/experience with emergent instructional technologies). The findings were the identification of 12 fundamental qualifications and responsibilities.

"Job titles will continue to evolve over the next 20 years as numerous trends alter the workplace landscape. Trends in technology, society, demographics, and the economy will inspire the job titles of tomorrow" (Challenger, 2005, p. 49). Based on these trends, Challenger identified what he believed to be the "top 10 candidates." The list included, manager of diversity, offshore outsourcing coordinator, corporate age advisor, retirement consultant, automotive repair technician (requiring computer literacy), corporate historian, chief health officer, eco-relations manager, manager of faith-based relations and initiatives (due to changing demographics in the United States, and of outsources and marketing to world-wide populations), and coordinator of workforce development and continuing education.

Crimando (1982) chronicled the emergence of the job development and specialist position whose responsibility was to promote and develop jobs for disabled individuals. Prior to the establishment of this position, job placement was the responsibility of rehabilitation counselors. Placement of the individuals with disabilities in jobs was only one of many responsibilities in the rehabilitation counselor's job description and often took a very low priority. Counselors did not have the time necessary to promote hiring of those with disabilities in local industries. Usdane (1974) envisioned individuals specifically trained for the role of job development and placement and promoted the idea of training programs. In the late 1970s, three master's degree programs in job development and placement were developed and funded (i.e., Southern Illinois University at Carbondale, Michigan State University, and Drake University). Today, entry into the position of *job development and placement specialist* requires a bachelor's

degree in rehabilitation or a related field and suggests experience in the business sector is very helpful (Careers in Vocational Rehabilitation, 2017).

Summary

As this literature review revealed, studies pertaining to policy development and diffusion of innovation theory showed parallel components among public policy and institutional policy; policy diffusion, and an active participant. The active participant is the policy entrepreneur and, in some ways, may be similar to a policy administrator in a college or university.

Of the limited number of studies addressing institutional policy development and review, the most extensive was conducted in Australia. The findings from one study (Freeman et al., 2014a) gathered data from U.S. institutions (n = 44) may have been skewed due to convenience sampling of ACUPA membership, which represented approximately 4% of regionally accredited colleges and universities and typically, members of ACUPA either held a central policy administrative position or worked in a subunit (e.g., finance, HR, academics, and general administration).

Of the 24 institutions (i.e., NCHEMS 12 and Policy Resources 12) reviewed by Clark et al. (2012), 13 of the institutions had a policy office or personnel. Eleven of these institutions were part of the Policy Resources 12 and likely the only ones of the 40 institutions (from which the Policy Resources 12 were selected) to have a policy office or designated personnel. This assumption was based on findings that the 28 institutions (not analyzed further) had only one of the resources listed and that was not likely a policy office. This deduction was based on the likelihood an institution with a policy office would have at least one other identified policy resource. Clark et al. (2012) posited:

> Yet, little attention is paid to institutional policies, and even less attention is paid to institutional policy systems. . . . We refer to this discrepancy between the importance of

> institutional policy systems and the lack of time and resources devoted to them as *the policy paradox*. Such a *policy paradox* is unfortunately common at institutions of higher education" (p. 12).

The lack of commonality was the *policy paradox* (Clark et al., 2012) and who leads the policy systems within higher education institutions that do have a system. There are institutions that have had a policy administrator position for at least three decades. Based on this literature review, no data were available to reveal the extent to which policy administrator positions have been adopted and diffused among regionally accredited colleges and universities in the United States. Where on the S-shaped curve of diffusion is the policy administrator position (e.g., innovator, early adopter, or early majority).

Policies have been a part of higher education from the beginning. Yet, for some institutions, the policy administrator position emerged within the last decade and there may be many institutions, given the small membership of ACUPA, that have yet to adopt such a position. Has the policy administrator position emerged as a unique position at U.S. institutions of higher education and, if so, to what extent has it diffused and how and why did this adoption occur?

CHAPTER 3: METHODS

Research Design and Rationale

To establish the extent of diffusion of policy administrator positions among regionally accredited universities in the United States and why these positions exist within universities, a mixed-methods study was conducted.

> There is a link between understanding the purpose of one's research and selecting the appropriate methods to investigate the questions that are derived from that purpose. . . . when the purpose is complex (as it often is), it is necessary to have multiple questions, and this frequently necessitates the use of mixed methods (Newman, Ridenour, Newman, & DeMarco Jr., 2003, p. 169).

Experts in mixed methods have encouraged researchers to use a method that best answers the research question(s), which may necessitate the use of both quantitative and qualitative methods (Johnson & Onwuegbuzie, 2004; Tashakkori & Teddlie, 1998, 2010). "Once specific questions have been formulated, a researcher should consider the most diverse array of methodological tools available to answer those questions through a process we call *methodological eclecticism*" (Tashakkori & Teddlie, 2010, p. 274, italics in original text).

A mixed methods study can provide a more explicit and accurate picture of a phenomenon resulting in a richer understanding (Greene, 2007; Ivankova & Kawamura, 2010; Johnson & Onwuegbuzie, 2004; Johnson & Turner, 2003; Lieber & Weisner, 2010; Tashakkori & Teddlie, 1998). Ivankova and Kawamura (2010) demonstrated an emerging trend in the use of mixed methods across disciplines, including education. While research in health and medicine had the greatest increase in the use of mixed methods between 2000 and 2008, the field of education had a significant increase in the use of mixed methods research during this time over the other 15 fields of study reviewed. This increase was primarily related to the complementary

nature of quantitative and qualitative research methods, providing a more in-depth understanding of the quantitative findings.

Howe (1988) responded to the incompatibility issue between epistemology and method with a new paradigm called *pragmatism*. Others have concurred with his concept of the pragmatic paradigm (Johnson & Onwuegbuzie, 2004); however, Morgan (2007) and Biesta (2010) disagree. "Descriptions of pragmatism do not fit easily into a system that is organized around the essential assumptions of the foundation of the metaphysical paradigm" (D. L. Morgan, 2007, p. 68). Biesta posited classifying pragmatism as a paradigm is too limiting because use of a paradigm requires the researcher to strictly adhere to the assumptions of the paradigm.

Mixed methods research provided an alternate to the typical quantitative or qualitative approach of exploring a research interest. To effectively implement a mixed methods approach, pertinent characteristics of traditional quantitative research (e.g., a focus on deduction, confirmation, explanation, standardized data collection, statistical analysis) and qualitative research (e.g., induction, discovery, exploration, researcher as the primary instrument of data collection, qualitative analysis) needed to be considered. After considering these characteristics, the researcher utilized the strengths of each paradigm to design a mixed methods study (Johnson & Onwuegbuzie, 2004).

Traditionally, quantitative and qualitative purists believed these two paradigms are mutually exclusive. This notion was referred to as the Incompatibility Thesis (Howe, 1988), which promoted the concept quantitative and qualitative paradigms cannot be mixed. Pragmatists saw this differently.

> A quantitative research objective is exploratory if the goal of the study is to examine patterns from data collected by the investigator or the researcher. . . . Conversely, a

> quantitative research objective is confirmatory if the goal of the investigation is to use the underlying data collected to test hypotheses of interest (Onwuegbuzie & Leech, 2005b, p. 277). "Pragmatic researchers have the opportunity to combine the macro and micro levels of a research issue" (Onwuegbuzie & Leech, 2005a, p. 383).

Mixed methods studies include at least two strands. "A strand is a component of study that encompasses the basic process of conducting quantitative or qualitative research: posing a question, collecting data, analyzing data, and interpreting results based on that data" (Creswell & Plano Clark, 2011b, p. 63). Creswell and Plano Clark (2011a, p. 64) identified the following four *key decisions* when designing a mixed-methods study: "(1) the level of interactions between the strands, (2) the relative priority of the strands, (3) the timing of the strands, and (4) the procedures for mixing the strands." Earlier Greene (2007, p. 120) posited decision one identified by Creswell and Plano was "the most salient and critical dimensions of mixed methods design."

Following are the responses to these key decisions for this study on the policy administrator position.

Key decision (1) – the level of interaction between the two strands was independent during data collection as data collection for one strand was not dependent on data collected for the other strand. The quantitative and qualitative data were collected simultaneously using the same survey instrument and the merging of data obtained from IPEDS (Integrated Postsecondary Education Data System) and the Higher Education Publications Directory.

Key decision (2) – The priority of the two strands were equally important in answering the research questions. Because no empirical evidence was found about the prevalence of the policy administrator position, the quantitative strand sought to collect the missing data. If it was found to be an emerging position, it established a basis for further study. The qualitative strand identified why the position came to be and how institutions progressed toward the decision to adopt. And why some institutions have chosen not to adopt.

Key decision (3) – The label used to describe the timing (e.g., concurrent, sequential, multiphase combination) was more than the order of data collection. “Most importantly, it describes the order in which the researchers use the results from the two sets of data within a study” (Creswell & Plano Clark, 2011a, p. 65). This study was a multiphase analysis. The first phase determined the prevalence of the position, the rate of adoption, and identified characteristics of institutions that have, and those who have not, adopted the position. The second phase analyzed the qualitative data to identify themes and categories related to adoption. The third and final stage integrated the two strands by analyzing the themes and categories using the various institutional characteristics downloaded from IPEDS.

Key decision (4) – Creswell and Plano Clark (2011a) identified four points in determining where and how to mix the two strands. Two of these points were used in this study:

1. Mixing the two strands of data during the analysis phase. The quantitative data and the qualitative were each analyzed separately, then merged for a combined analysis, facilitating comparisons based on institutional characteristics. Analysis of combined data assessed who (in terms of institutional characteristics) responded to Part B of the survey and the comparison of institution respondents to Part B to their response to Part A, question one.
2. Mixing within a theoretical framework. In this case, Rogers’ diffusion of innovation was used as the theoretical framework.

In a review, Greene, Caracelli, and Graham (1989) identified five purposes (i.e., triangulation, complementary, development, initiation, and expansion) for mixed methods studies. Bryman (2006) described 18 rationales for mixed-method studies in his review. Two of these rationales mirrored the purposes identified by Greene et al. (1989) and pertained to this

study. Bryman's *enhancement* rationale matched Greene et al.'s definition of *complementary* and his *completeness* rationale was similar to Greene et al.'s *expansion* purpose. Table 9 lists the purposes/rationales relevant to this study of the policy administrator position within educational institutions.

Table 9. Greene et al.'s Purposes and Bryman's Rationales Relevant to Choosing a Mixed-Methods Approach for Study of the Policy Administrator Position

Greene et al. (1989)	Bryman (2006)	Policy Administrator Study
Complementary—"seeks elaboration, enhancement, illustration, clarification of the results from one method with the results from the other method" (p. 259).	"*Enhancement* or building upon quantitative/qualitative findings – this entails a reference to making more of or augmenting either quantitative or qualitative findings by gathering data using a qualitative or quantitative research approach" (p. 107).	Gathering empirical data to determine prevalence of the policy administrator position and year the position was adopted by each institution provided an added perspective to the qualitative data, which sought to learn why and how (process) the position was adopted.
Expansion—"seeks to extend the breadth and range of inquiry by using different methods for different inquiry components" (p. 259).	"*Completeness* – refers to the notion that the researcher can bring together a more comprehensive account of the area of enquiry in which he or she is interested if both quantitative and qualitative research are employed" (p. 106).	Establishing prevalence of the policy administrator position was important to determine if the position is emerging or well established. This information added a foundational basis for looking at the why and how of adoption.
	"*Process* – quantitative research provides an account of structures in social life but qualitative research provides sense of process" (p. 106).	Quantitative date collected to determine prevalence of the policy administrator position provided structure. Qualitative data collected to learn the process by which the position was established.

Greene et al. (1989)	Bryman (2006)	Policy Administrator Study
	"Utility or improving the usefulness of findings – refers to a suggestion, which is more likely to be prominent among articles with an applied focus, that combining the two approaches will be more useful to practitioners and others" (p. 106).	Knowing the position is emerging or has been established relatively recently may prompt other institutions without the position to learn through the qualitative study how and why position may benefit their institution.

Population

Both the quantitative and qualitative strands of the study included the entire population of regionally accredited, degree-granting institutions in the United States (all 50 states plus D.C., excluding U.S. territories). Three individuals (i.e., the chief academic officer [provost or vice president for academic affairs], chief financial officer, and university attorney/general counsel) from each institution were targeted to receive an email inviting them to participate in this Internet-based survey. Names and contact information for the participants, were obtained from the 2020 Higher Education Directory® (Rodenhouse & Burke, 2018) (aka HEP Directory). Contact information was not available for each of three positions for all institutions.

Based on a review of the ACUPA membership, these three individuals were selected because policy administrators predominantly report to one of these subunits within the institutions. The goal was to receive a response from at least one of the three; preferably from the unit to which the policy administrator position reports. In the case of more than one respondent from an institution, the multiple responses to survey, part A from each institution will be compared to determine if the responses match as only one response will be used in the analysis to determine prevalence. When there was a discrepancy in responses to question one of the

survey, part A, data collected in part B was analyzed for possible resolution. A final decision for dealing with multiple responses was determined once data were collected to determine the magnitude of response duplications. It was possible multiple responses may not occur.

A list of institutions, along with selected institutional characteristics was downloaded from IPEDS. The IPEDS list included all institutions participating in Title IV funding who reported data for the 2018-2019 academic year; the latest available at the time. Many institutions participating in Title IV were not regionally accredited. The next step was to reconcile the two lists (i.e., HEP Directory and IPEDS). Institutions without regional accreditation and/or contact information available from the HEP Directory were removed from the IPEDS list. Institutions not available from IPEDS were removed from the HEP Directory listing. The common data element in each list was the IPEDS Unit ID. The two lists were then merged into one with the aid of SPSS utilizing the Unit ID as the common variable for matching. Table 10 shows the breakdown of the final count of 5,928 records, which represented 2,889 institutions as of February 2020.

Table 10. Numbers of Institutional Contacts Provided by Higher Education Publications, Inc.

Institution Contacts	Number of Contacts Provided	Percentage of Institutions with Contact Type
Chief Academic Officer	2,788	96.5
Chief Financial/Business Officer	2,521	87.3
Director of Legal Services/General Counsel	619	21.4

Survey Instrument and Data Collection

The survey instrument (Appendix A) was created in Qualtrics® by the researcher and administered via the Internet. A contact list (i.e., chief academic officer, chief financial officer,

and general counsel) for regionally accredited, degree-granting institutions in the United States (U.S. territories excluded) was purchased from the Higher Education Publication, Inc. The purchased contact list included additional data elements as listed in Appendix B. The contact information and additional data elements were received in the form of a .csv file and electronically imported into the contacts table in Qualtrics®.

The low response rate to surveys reported in other studies was concerning. To mitigate a low response rate, the following steps were taken:

1) Using a Qualtrics® feature, data elements from the contacts table (obtained from the HEP Directory, Appendix B) were embedded into the survey. Survey respondents' email addresses were used to validate them with the Qualtrics® contacts table to associate each response with the appropriate embedded data passed along with the responses to and imputed into SPSS for analysis. This step eliminated the need to ask respondents to provide the name of their institution, its city and state, and the IPEDS Unit ID.
2) The instrument was divided into two parts (Appendix A). Part A was purposefully very short (1 to 3 questions) in hopes of achieving as close to 100% participation as possible by attracting more respondents than one longer survey might. The higher the response rate, the more accurate the determination of the prevalence of the policy administrator position to plot the S-shaped diffusion curve (Rogers, 2003).

Part A

Part A of the survey had three questions. The first question was multiple choice with three responses. Selecting the first multiple-choice response option (yes, the position exists at the institution) triggered two related questions. Selecting either the second (considering the position) or third (no position) responses for question one, took the respondents directly to the end of Part

A. In addition to achieving a higher response rate, a two-part survey made it possible to capture data to determine prevalence of the policy administrator position should respondents choose not to continue to Part B or failed to complete Part B.

When participants submitted Part A, they were immediately asked to continue to complete part B (lengthier portion of the survey). This procedure was described and the rationale given in the introductory email (Appendix E) and the email invitation (Appendix F) sent to potential respondents.

Part B

Part B questions were a mixture of multiple-choice and short answers. This part had three branches, each branch based on one of the three possible responses selected in question one of Part A. A feature of Qualtrics® facilitated the branching from one part of the survey to the next. Thus, respondents were automatically taken to the appropriate branch. This setup shortened Part B for each respondent by displaying only questions pertinent to the response provided in Part A. Another Qualtrics® feature was the ability to ask additional questions related to a specific response to a multiple-choice question—again making it possible for respondents to see only relevant questions.

Branch one. The first branch of Part B (yes, position exists) had two components. The first few questions addressed the scope of the policy administrator position (characteristics) to determine how the position varied among institutions. The remaining questions sought to understand the diffusion of innovation process—the process by which the decision was made to adopt a policy administrator position. The questions in this second component were based on Rogers' (2003) *diffusion of innovation process* with multiple choice responses that asked

respondents to explain their selected response. An '*other' (please explain)* response was provided as an option for each multiple-choice question to identify institutional flexibility.

Branch two. The second branch (considering the position) sought to understand why the institution was considering the position. This branch also asked a question about the diffusion of innovation process, but was limited to the first stage (i.e., knowledge stage).

Branch three. The third branch (no, the position does not exist) sought to understand why. It asked about the awareness of the position at other institutions. If this response was no, the survey ended. If there was an awareness, respondents were asked why the decision was not to adopt the position.

Pilot Study 1

A pilot study was conducted. Among reasons for conducting a pilot study identified by van Teijlingen and Hundley (2001), the following were pertinent to this study: "testing adequacy of research instrument. . . assessing whether the research protocol is realistic and workable. . . assessing the proposed data analysis techniques to uncover potential problems" (p. 2). This was sent out after obtaining IRB approval (Appendix G) to include data collected in the final analysis. Using a Qualtrics® feature to create a random sample, 100 institutions were selected from the database of higher education administrators purchased from the HEP Directory. An introductory/invitation email (Appendix E) was sent to potential participants in the pilot sample, followed by a cover email (Appendix F) with the link to the survey. Survey data were analyzed to assess the quality of the questions. Based on responses given, did it appear respondents were understanding the intent of the questions? Keeping in mind qualitative research is emergent, did responses raise unexpected issues that should be addressed directly in the survey prior to the main study?

The invitation email was sent out the first week of November 2020; followed two days later with an email containing the link to the survey. Eleven (11) responses were received in response to the 100 invitations sent; a response rate of eleven percent. The few respondents who were aware of the position elsewhere, answered the questions in Branch C (the shortest of the three branches) appropriately. Since no respondents answered "yes" or "considering" to question one, Branches A and B were not tested. Because of the lack of responses of "yes" or "considering" to question one in Part A, the survey instrument was not fully tested.

Pilot Study 2

Wondering if the low response rate to the first pilot study related to the world pandemic (COVID-19) putting extra strain on college/university administrators, sent too close to the Thanksgiving holiday, or some other undetermined factor a second pilot study was planned. Based on the outcome of Pilot Study 1, this one purposefully targeted institutions who were members of ACUPA with the expectation the response to question one would be either "yes" or "considering." This would test the complete survey instrument.

The invitation email was sent to 33 individuals, hand selected to ensure they represented all the institutional characteristics targeted in the study. The invitation email was sent on January 5, 2021. With the U.S. Capitol being stormed the following day, January 6, came speculation of possible unrest on college and university campuses. In spite of concern this would significantly lessen the probability university administrators would take time to answer a survey, the email with the survey link was sent as scheduled, January 7. Only two responses were received, but both completed Part B. Based on these two responses, it was determined the survey instrument was working in regard to understandability.

Survey Distribution to Remaining Contacts

Due to the global pandemic, higher education institutions were moving spring break to accommodate hybrid classes. This created difficulty in determining the best time to release the survey during the spring term. With the hope of lessening the impact of survey timing for various institutions, the remaining surveys were sent out in batches. Contacts were divided into 14, approximately equal groups and surveys sent out to one group each week beginning in February 2021. The last group was sent out May 20, 2021.

Quantitative Strand

The quantitative strand was partially to contextualize the policy administrator position by empirically establishing the diffusion of the position among higher education institutions in the United States. A second reason was to determine if associations existed between institutional characteristics and the decisions to adopt policy administrator positions.

Research Questions

The research explored the prevalence of policy administrators. Is this position common or is it emerging among higher education institutions? What is the scope of the position responsibilities? It also explored institutional characteristics for possible associations shared with a policy administrator position and those that have not established the position. The following research questions addressed these issues.

1) To what extent has, the policy administrator position diffused among regionally accredited, degree-granting higher education institutions in the United States. What is the rate of adoption?
2) What is the relationship of the presence of a policy administrator position and institutional characteristics (i.e., Carnegie classification, sector, size, geographical location)?

3) What is the relationship of the absence of a policy administrator position and institutional characteristics (i.e., Carnegie classification, sector, size, geographical location)?
4) For institutions with a policy administrator, what is the scope of responsibilities?

Institutions

Email invitations were sent to 5,930 individuals representing 2,889 institutions. In addition to the 387 bounced emails tracked in Qualtrics®, 20 emails were received from recipients who stated they were retired and requesting to be removed from the contact list. Of the remaining 5,523 potential respondents, 406 surveys were received; resulting in a response rate of 7% for Part A. Of the 406 respondents to Part A, 387 continued to Part B (95%).

Data Analysis

Data collected via Qualtrics® were downloaded to an Excel spreadsheet; one for each of the two surveys (Part A and Part B). Upon doing this, it was apparent that identifying data, unique to each respondent, did not exist in both surveys. This posed a problem for merging the two data sets into one. In hindsight, the email address of each respondent should have been passed from Part A to Part B. Qualtrics® confirmed this could have been done. The data fields existing in both data sets were the IP address and location coordinates (latitude and longitude). IP addresses are not unique to an individual computer, but proved to be useful in matching the majority of the records. The remaining records were determined using a combination of the start dates of each survey (not a conclusive match on its own because surveys did not need to be completed in one sitting), IP address, and location coordinates. In a few cases, the respondent's email address provided evidence of a match when voluntarily provided in Part B. Part A captured respondents' email addresses from the login-authorization process. This matching method

provided assurance confidence the remaining records were appropriately matched. Records were kept showing the matching process for each combination that was not made on IP address alone.

Exploratory data analysis (EDA) was conducted to examine the data for completeness and accuracy. Before merging the survey data with the other two data sources, data were checked for multiple responses from individual institutions. It was important each institution had a single entry for the analysis of the complete data set. Thirty-two duplicate institution respondents were removed from the 406 respondents leaving a total of 374 unique institutions. Of these 32 duplicates, 7 did not match the response to the first question. In all 7 cases, one respondent answered "yes, the institution has a policy administrator position" and the other responded, "no." The "yes" response record was retained in the data set used for quantitative analysis and the "no" response record was set aside. The duplicate records that matched were included in the qualitative analysis. The unique institutions (n = 374) were compared to the total population of institutions (N = 2,889) based on institution characteristics. Table 11 revealed respondents well represented the population with the exception of Carnegie classification (i.e., associate colleges were under-represented. No responses were received from tribal colleges).

Table 11. Comparison of Respondents to Population Based on Institutional Characteristics

	Population		Respondents	
Institution Characteristics	Count	Percentage	Count	Percentage
Carnegie Classification				
Doctoral Universities	395	13.7	80	21.4
Master's Colleges and Universities	603	20.9	94	25.1
Baccalaureate Colleges	523	18.1	53	14.2
Associate Colleges	940	32.5	38	10.2
Special Focus Institutions	388	13.4	109	29.1
Tribal Colleges	34	1.2	0	.0
Not applicable, not in Carnegie universe	6	0.2	0	.0
Total Institutions	2,889	100.0	374	100.0
Sector				
Public, 4-year and above	725	25.1	123	32.9

Institution Characteristics	Population		Respondents	
	Count	Percentage	Count	Percentage
Private not-for-profit, 4-year and above	1,226	42.4	148	39.7
Private for-profit, 4-year and above	81	2.8	4	1.0
Public, 2-year	831	28.8	93	24.9
Private not-for-profit, 2-year	18	0.6	4	1.0
Private for-profit, 2-year	8	0.3	2	0.5
Total Institutions	2,889	100.0	374	100.0
Geographic Regions				
New England CT ME MA NH RI VT	209	7.2	25	6.7
Mid East DE DC MD NJ NY PA	464	16.1	52	13.9
Great Lakes IL IN MI OH WI	444	15.4	57	15.2
Plains IA KS MN MO NE ND SD	317	11.0	55	14.7
Southeast AL AR FL GA KY LA MS NC SC TN VA WV	689	23.8	88	23.5
Southwest AZ NM OK TX	257	8.9	33	8.9
Rocky Mountains CO ID MT UT WY	94	3.3	19	5.1
Far West AK CA HI NV OR WA	408	14.1	45	12.0
US Service Schools	7	0.2	0	.0
Total Institutions	2,889	100.0	374	100.0
Institution Size (enrollment headcount)				
Under 1,000	565	19.6	45	12.0
1,000 to 4,999	1,319	45.7	161	43.1
5,000 to 9,999	465	16.1	73	19.5
10,000 to 19,999	325	11.2	54	14.4
20,000 and above	215	7.4	41	11.0
Total Institutions	2,889	100.0	374	100.0
Regional Accrediting Organizations				
New England Association of Schools and Colleges	212	7.3	25	6.7
Middle States Commission on Higher Education	473	16.4	53	14.2
The Higher Learning Commission	987	34.2	155	41.4
Northwest Commission on Colleges and Universities	155	5.4	18	4.8
Southern Association of Colleges and Schools	764	26.4	94	25.1
WASC Senior College and University Commission	177	6.1	21	5.7
WASC Accrediting Commission for Community and Junior Colleges	121	4.2	8	2.1
Total Institutions	2,889	100.0	374	100.0

Once the three data sources (i.e., survey, HEP, and IPEDS) were merged, data were further examined, checking for problems (e.g., missing values). Data accuracy and completeness are imperative to obtaining accurate output from the main data analysis (Mertler & Vannatta, 2010; Tabachnick & Fidell, 2007). Prior to administering the survey, there was a concern that certain respondents (e.g., those responding yes versus no) to Part A may be more likely to continue to Part B. This concern did not materialize as 95% of all respondents continued to Part B. It is useful to gain an understanding of the demographics of the participant institutions (Morgan, Leech, Gloeckner, & Barrett, 2013). This analysis was to determine how representative the responding institutions were of the population. For fit of survey questions to research questions, see Appendix D.

Measures

Dependent variable. The dependent variable was dichotomous. The institution either has or has not established a policy administrator position.

Independent variables. The independent variables included the following nominal/categorical variables: Carnegie classification, sector, geographical region, and institution enrollment size category (see Table 11 or Appendix B).

Research question 1. Diffusion of the policy administrator position. Frequency tables were generated to determine the number of responding institutions by year of adoption with a policy administrator position (dichotomous variable). Part A collected the year the policy administrator position was established at the institution. These data were used to plot the S-shaped curve to determine the extent of diffusion of the position (Rogers, 2003).

If an innovation is fully adopted, the distribution of adopters (i.e., institutions), plotted over time, approaches a normal (bell-shaped) curve. These same frequencies, when plotted

cumulatively, form an S-shaped curve, revealing the rate of adoption. In this case, the innovation was the policy administrator position and the social system was the population of regionally accredited higher education institutions. Institutions with the policy administrator position respondents were asked if the year of adoption provided was based on fact, an approximation/best guess, or other (please specify). The purpose of this second question was to determine the reliability of the data (year) used in plotting the S-curve and determining the rate of adoption.

Using the mean years of adoption and standard deviation, Rogers (2003) divided the nearly normal distribution of adopters into five categories as seen in Figure 1. The adopter categories, identified in Figure 1, are

> ". . . *ideal types*, concepts based on observations of reality that are designed to make comparisons possible. Ideal types are not simply an average of all observations about an adopter category. . . . Innovativeness, if measured properly, is a continuous variable and there are no sharp breaks or discontinuities between adjacent adopter categories (although there are important differences between them)" (Rogers, 2003, p. 282).

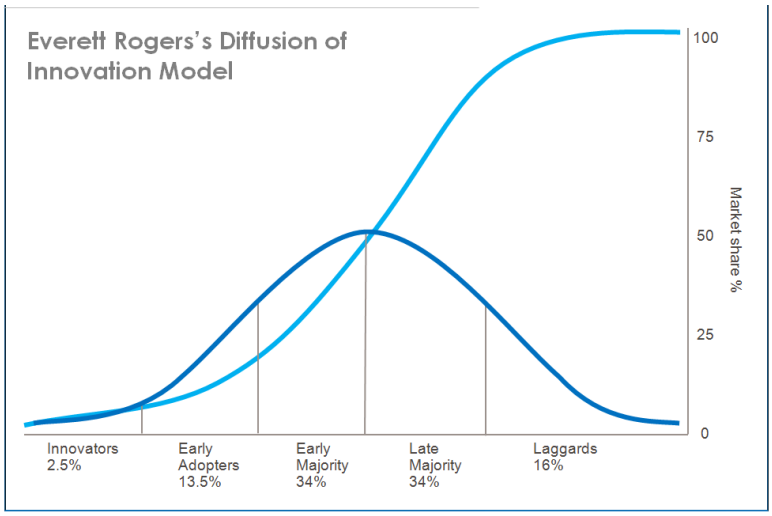

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Figure 1. Distribution of Adopter Categories Displayed as a Bell Curve and an S Curve.

Research questions 2 and 3. The second purpose of the quantitative strand was to determine which institutional characteristics correlated with the existence or absence of a policy administrator. "Correlational methods excel in providing context, in holistically dealing with many variables, and in establishing the total pattern of relationships" (Brown & Hedges, 2009, p. 374).

If the response rate to Part A of the survey was high, then correlational analysis may be done with adopter categories (i.e., innovators, early adopters, early majority, late majority, and laggards) with institutional characteristics.

Multiple regression is a statistical procedure commonly used in the behavioral sciences to explain a relationship that multiple independent variables have on a dependent or output variable (Creswell, 2012; Hilbe, 2009). Certain institutional characteristics may be prevalent among institutions with a policy administrator position and those without. This study used descriptive modeling versus explanatory or predictive modeling. "Fitting a regression model can be descriptive if it is used for capturing the association between the dependent and independent variable rather than for causal inference or for prediction" (Shmueli, 2010, p. 291). "Correlational research does not 'prove' a relationship, rather it indicates an association between two or more variables" (Creswell, 2012, p. 354). Put another way, it does not prove causation (Cohen, Cohen, West, & Aiken, 2003).

The basic multiple regression model is linear and a key assumption of this statistical method specifies the dependent variable must be an interval or scale variable (Leech, Barrett, & Morgan, 2015; Menard, 2010). The dichotomous dependent variable (existence of a policy administrator position) violated this assumption. Therefore, the multinomial logistic regression

was selected as an alternate regression model to analyze a dichotomous dependent variable (Cohen et al., 2003; Leech et al., 2015).

Logistic regression is considered flexible in terms of assumptions; but, there are conditions (Leech et al., 2015) or issues (Mertler & Vannatta, 2010) to be satisfied before statistical analysis can be conducted. They are:

1) dependent variable be dichotomous (binary logistic regression),
2) two or more independent variables,
3) categories of all nominal variables (both dependent and independent) must be mutually exclusive and exhaustive. Tabachnick and Fidell (2007) refer to this condition as "singularity, the variables are redundant" (p. 88),
4) ratio of cases to variables can cause problems with the analysis (Mertler & Vannatta, 2010). The sample size must be a minimum of 15-20 cases per independent variable (some recommend a minimum of 50 to 60 cases) (Laerd Statistics, 2015; Leech et al., 2015).
5) Goodness-of-fit testing (using SPSS) is necessary to determine that the model is appropriate for the data. "All pairs of discrete variables should be evaluated to ensure that all cells have expected frequencies greater than 1 and that no more than 20% have frequencies less than 5" (Mertler & Vannatta, 2010, p. 293). Collinearity is "easy to detect" but there are "few acceptable remedies" (Menard, 2002, p. 77). Menard cautions against removing variables as this may cause "omitted variable bias."
6) Outliers can be problematic. Mertler and Vannatta (2010) recommend removing cases with extreme values (e.g., > |3|) of variables from the analysis.

Logistic regression is used to determine which independent variables (covariates) contribute to the likelihood that the dichotomous dependent variable will have one outcome versus the other. It is about probability, odds (the ratio of the probability the event will occur) and odds ratios. An odds ratio is calculated as a measure of association (Hosmer, Lemeshow, & Sturdivant, 2013; Menard, 2010) to determine the strength or the probability of an outcome occurring (an institution has established a policy administrator position) with the probability the outcome does not occur (Hair, Anderson, Tatham, & Black, 1995; Mertler & Vannatta, 2010). The logit (the natural logarithm of the odds) is a key concept in logistic regression. "It's important to understand that the probability, the odds, and the logit are three different ways to express exactly the same thing" (Menard, 2002, p. 13; 2010).

Research question 4. The first section of Part B of the survey addressed the characteristics of the policy administrator position. Frequency distributions were run on the multiple-choice answers. Questions with short answers were coded and analyzed for themes to identify similarities and differences among the position, which were then used to determine its scope.

Qualitative Strand

The qualitative strand was designed to understand the decision-making process in establishing a policy administrator position, delaying the establishment of the position, or choosing not to establish the position at the various stages of DOI.

"Qualitative research is pragmatic, interpretive and grounded in the lived experiences of people" (Marshall & Rossman, 2016, p. 2). In this case, it is the "lived experience of institutions" as observed by administrators. Use of an interview is common when doing a qualitative study and is typically assumed to be done face-to-face or via the phone. Yin (2014) identified three

types of interviews: “prolonged interviews, shorter interviews, and survey interviews” (p. 110). The survey interview is a structured questionnaire (Yin, 2014).

Qualitative data were collected from upper-level college and university administrators via Part B of the survey. A survey was chosen for two reasons: 1) the expected difficulty in finding administrators who were willing to give their time for typical interviews. Unlike a personal interview, it is easier to step away from a survey, if the need arises, and return later to complete it. 2) asking survey recipients to answer the qualitative questions could potentially provide more data for analysis of the DOI process.

The quantitative data provided the answers to whether or not the position has diffused. Either way, if the position has diffused, knowing why some institutions chose to create a policy administrator position added insights to the phenomenon studied. The reverse was true as well; the outcome of the quantitative strand revealed the position has not fully diffused among the population. Such understanding may improve practice. A qualitative design is to be flexible and responsive, evolving from what is learned as the study progresses (Marshall & Rossman, 2016; Merriam, 1998).

The qualitative strand sought an in-depth look at the innovation-decision process each institution experienced. This included the initial awareness of such a position, through consciously thinking about whether it would contribute to the organization, to the decision to establish or reject the position, and finally to implementation and confirmation of the decision.

Research Questions

1) What was the *innovation-decision process*?
2) If a policy administrator position has been adopted, what factors were the most salient to the decision of each institution to create this position?

3) If the policy administrator position has not diffused per population, why not? What factors were most salient in this decision?

Institutions

Survey recipients for the qualitative strand were the same as for the quantitative strand. Upon completion of Part A of the survey, respondents were invited to continue to Part B.

This section included a discussion of how many individuals/institutions responded to Part B. Based on institutional characteristics, an assessment was made about how well the institutions were consistent with Part A and the population. The closer the responding institutions represent the population, the more valid the study (Kondracki, Wellman, & Amundson, 2002). Other aspects of validity (if multiple respondents) was based on the consistency of answers from the same institution and the structure of the survey being informed by the theoretical framework (DOI). For relationships of research questions to survey questions, see Appendix D.

Procedures

When survey respondents came to the end of Part A, they were invited/encouraged to continue to Part B. Because of the qualitative nature of this study, an *"other"* response option was provided for each question as well as a text box to *write in the margins*. Writing in the margins refers to "comments spontaneously offered by participants over the course of the study" (McClelland, 2016). Stoudt (2016, p. 186) posited "By remaining flexible to the potential importance of this "extra" qualitative information beyond the intended structure of the survey, marginalia offered nuanced perspectives on the respondents' answers and helped researchers to confront their own assumptions written into the survey." Writing in the margins (the other comments) encouraged respondents to add information not specifically evident in close-ended responses provided for the survey questions.

Data Analysis

Content analysis was chosen as the method of analysis because it provided "knowledge and understanding of the phenomenon under study" (Downe-Wamboldt, 1992, p. 314). Early use of content analysis was to identify words and concepts found in text (Renz, Carrington, & Badger, 2018).

Of three types of content analysis (i.e., conventional, directed, summative), directed content analysis was chosen. Directed content analysis is more structured using, for example, a theoretical framework or theory (Hsieh & Shannon, 2005) for a deductive approach (Kondracki et al., 2002). Rogers' (2003) *innovation-decision process* stages (i.e., knowledge, persuasion, decision, implementation, confirmation used to structure Part B of the survey questions) was used as the initial codes (Mayring, 2000). A word cloud was generated to display the responses to a couple of questions.

The questions that produced qualitative data were analyzed for themes. Survey responses were exported from Qualtrics® to an Excel spreadsheet. Because the institution size category was the one characteristic found to be statistically significant in the quantitative part of this study, the responses were sorted, low to high, by this characteristic. Responses were then copied from Excel to a Word document. Because the responses were in institution size categories prior to copying to Word, it was easy to quickly change the font color in Word for each size category (See example in Appendix H.). Each response to a given question was read, looking for possible themes. As themes began to emerge, a two-column table was created with the theme in the left column and each response that addressed the theme, copied in the right column, adjacent to the appropriate theme. When a response did not correspond to one of the identified themes, it was copied to a row labeled, "Other." After all the answers had been copied to the table, those in the

"Other" category were reviewed again and often another theme or two would appear and a new row was added to the table. Once all the themes were identified, the responses in the table were reviewed again to make sure each survey response was associated with the appropriate theme and the number of responses counted for each theme. Then the analysis was added with themes listed in descending order according to the number of responses received. By color coding the responses for each institution size category, it was easy to visually assess if the themes were associated with certain sizes of institutions. This did not prove to be meaningful. For most questions, institutions from all five size categories, addressed the same themes.

CHAPTER 4: FINDINGS

The purpose of this study was to ascertain the prevalence of policy administrator positions among colleges and universities in the United States. Why have institutions adopted this position, what were the salient factors in the decision-making process to either accept or reject creating the position, and institutional characteristics of both groups of institutions (those who accepted or rejected). What was the scope of responsibilities this position encompassed, and what has the position contributed to the overall functioning of an educational institution.

RQ1: To what extent, has the policy administrator position diffused among regionally accredited degree-granting higher education institutions in the United States? What is the rate of adoption?

Quantitative Analysis

S Curve

To address research question 1, empirical data were collected to determine the prevalence of the position and plot the S curve to determine the status of the diffusion process pertaining to the adoption of policy administrator positions in higher education. The S curve was created by graphing the cumulative frequencies of the position adopted each year from pre-1980 to 2020 and depict the rate of diffusion by the slope of the curve. The steeper the slope of the curve, the faster the rate of adoption

Of the responding institutions (n = 374), 92 (24.6%) reported having the position and 85 of the 92 institutions provided the year the position was established. The S curve in Figure 2 was based on these 85 responses. The slope of the curve was relatively steep and had not leveled out at the top. When an innovation has fully diffused, the top of the S curve will flatten. Full diffusion does not mean 100% adoption; but all who intend to adopt it have likely done so.

Rogers (2003) labels the first 2.5% of adopters as “innovators,” the next 12.5% as “early adopters,” and those in the 16% to 34% range as the “early majority.” With 24.6% of the responders being adopters, this places the process in the “early majority” stage of diffusion.

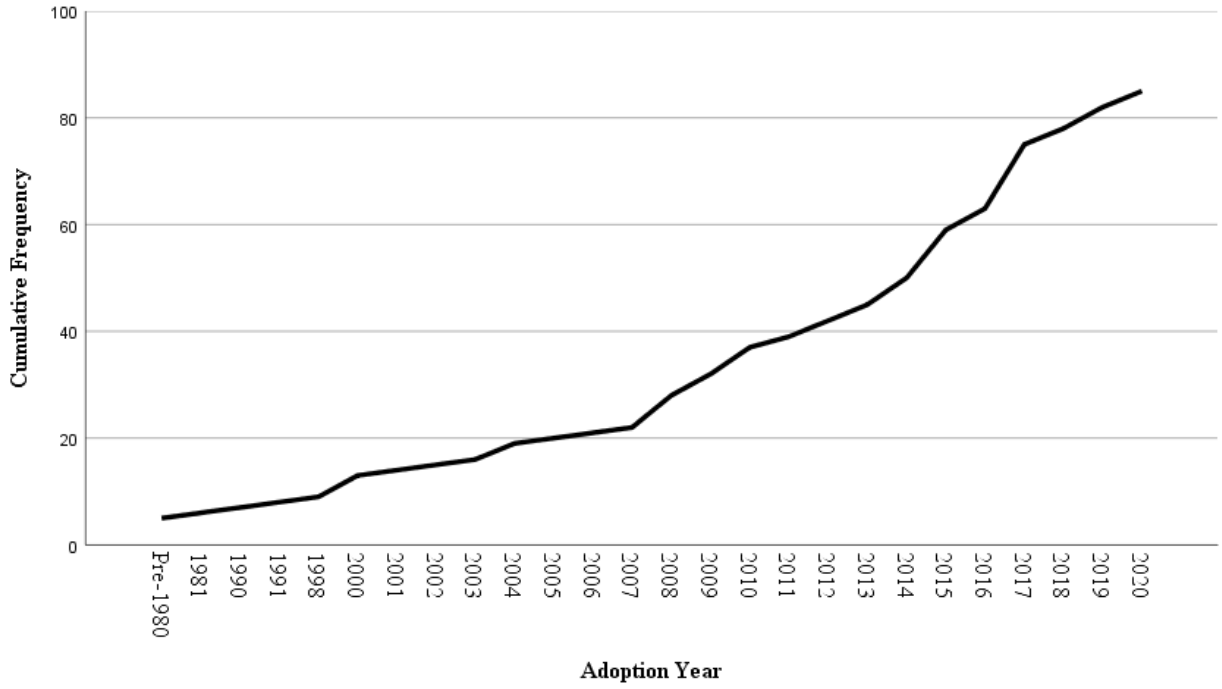

Figure 2. S Curve Depicting Adoption of Policy Administrator Position by Responding Institutions

Frequencies

RQ2 What was the relationship of the presence of a policy administrator position and institutional characteristics (i.e., Carnegie classification, sector, institution size, and geographical location)?

RQ3 What was the relationship of the absence of a policy administrator position and institutional characteristics (i.e., Carnegie classification, sector, institution size, and geographical location)?

Frequencies were run to gain an overview of responses of institutions with the position compared to those without the position for each of the categorical independent variables. Of the 374 responding institutions, 282 (75%) did not have a policy administrator position. See Table 12.

Carnegie Classifications

Table 12 further revealed nearly twice as many *doctoral universities* (32.6% vs. 17.7%) and *associate colleges* (16.3% vs. 8.2%) have the position versus institutions that do not have the position. Comparing the total respondents for each Carnegie classification, showed the highest percentage of institutions reporting the position was the *associate colleges* category (15 ÷ 38 = 39.5%) followed by *doctoral universities* (30 ÷ 80 = 37.5%).

Sectors

For the sector category, the majority by far was split among three subcategories (i.e., public, 4-year and above; private not-for-profit, 4-year and above; and public, 2-year). The remaining three categories (i.e., private for-profit, 4-year and above; private not-for-profit, 2-year; and private for-profit, 2-year) had very few responses. Comparing the total respondents for each sector classification, shows the highest percentage of institutions reporting the position was the *public, 4-year and above* (41 ÷ 123 = 33.3%); followed by the *private not-for-profit, 4 year and above* (148 ÷ 33 = 22.3%); and the *public 2-year* (17 ÷ 93 = 18.3%).

Geographical Regions

The geographical regions category was more evenly distributed with the highest percentage of respondents from the southeast region. Comparing the percentages for this region with other regions showed very similar results with 23.9% reporting the existence of the position and 23.4% reporting their institution did not have the position. The region with the greatest variance was the

Great Lakes region with 7.6% of institutions having the position compared to 17.7% without the position.

Institution Size

The highest percentage of respondents in the institution size by enrollment category were in the *1,000 to 4,999* category (29.3%) followed by the *20,000 and above* category (25.0%). Comparing the percentages of total respondents for each size category revealed the highest percentage of institutions with the position was the *20,000 and above* (23 ÷ 41 = 56.1%), followed by *10,000 to 19,999* (17 ÷ 54 == 31.5%), *5,000 to 9,999* (16 ÷ 73 – 21.9%), *under 1,000* (9 ÷ 45 = 20.0%), and lastly, *1,000 to 4.999* (27 ÷ 161 = 16.8%). Thus, the category, *1,000 to 4,999* with the highest overall percentage of responses had the lowest percentage with the position among respondents in the category.

Table 12. Frequencies of Participating Institution Characteristics

Institution Characteristics	Has Position		No Position	
	n	%	*n*	%
Carnegie Classification				
Doctoral Universities	30	32.6	50	17.7
Master's Colleges and Universities	24	26.1	70	24.8
Baccalaureate Colleges	6	6.5	47	16.7
Associate Colleges	15	16.3	23	8.2
Special Focus Institutions	17	18.5	92	32.6
Tribal Colleges	0	0.0	0	0.0
	92	100.0	282	100.0
Sector				
Public, 4-year and above	41	44.6	82	29.1
Private not-for-profit, 4-year and above	33	35.9	115	40.8
Private for-profit, 4-year and above	1	1.0	3	1.0
Public, 2-year	17	18.5	76	27.0
Private not-for-profit, 2-year	0	0.0	4	1.4
Private for-profit, 2-year	0	0.0	2	.7
	92	100.0	282	100.0
Geographic Regions				
New England CT ME MA NH RI VT	7	7.6	18	6.4

Institution Characteristics	Has Position		No Position	
	n	%	*n*	%
Mid East DE DC MD NJ NY PA	11	12.0	41	14.5
Great Lakes IL IN MI OH WI	7	7.6	50	17.7
Plains IA KS MN MO NE ND SD	14	15.2	41	14.5
Southeast AL AR FL GA KY LA MS NC SC TN VA WV	22	23.9	66	23.4
Southwest AZ NM OK TX	9	9.8	24	8.5
Rocky Mountains CO ID MT UT WY	9	9.8	10	3.6
Far West AK CA HI NV OR WA	13	14.1	32	11.4
US Service Schools	0	0.0	0	0.0
	92	100.0	282	100.0
Institution Size (Enrollment Head Count)				
Under 1,000	9	9.8	36	12.8
1,000 to 4,999	27	29.3	134	47.5
5,000 to 9,999	16	17.4	57	20.2
10,000 to 19,999	17	18.5	37	13.1
20,000 and above	23	25.0	18	6.4
	92	100.0	282	100.0

Binary Logistic Regression

Binary logistic regression was conducted to assess whether the four independent variables (i.e., Carnegie classification, sector, geographic location, and institution enrollment size) could explain the characteristics of institutions with the position.

SPSS was used to test the assumption for multicollinearity. The results indicated that collinearity was not a concern (Carnegie classification, Tolerance = .37, VIF = 2.69; Sector, Tolerance = .42, VIF = 2.40; Institution size, Tolerance = .81, VIF = 1.23; Geographical location, Tolerance = .96, VIF = 1.04). There are no set of agreed upon values for VIF to determine collinearity. However, "The smallest possible value for VIF is 1, which indicates the complete absence of collinearity. . . . As a rule of thumb, a VIF value that exceeds 5 or 10 indicates a problematic amount of collinearity" (James, et al. 2021, p. 102).

The logistic regression model was statistically significant, X^2 (20, N = 374) = 59.62, p = < .01 suggesting it could distinguish between institutions with or without a policy administrator position based on selected characteristics. The Cox & Snell R Square is low at .147, indicating 14.7% of the variation in the responses was explained by the independent variables. This suggested there are other factors influencing the decisions for a policy administrator.

Prior to running the logistic regression, each independent variable was flagged in SPSS as categorical. Based on this, SPSS generated dummy variables for each independent variable. The last category in each variable was identified as the constant to which each of the other categories were compared as a binary regression.

To address RQ 2 and RQ 3, Table 13 presents the odds ratios which suggested the odds of an institution establishing a policy administrator position decreased as the size of the institution decreased. The first three categories of the *institution size* independent variable were significant in explaining this outcome. The results of the fourth category in *institution size* and the remaining three independent variables (i.e., Carnegie classification, sector, and geographic region) were not significant.

Table 13. Summary of Logistic Regression Analysis

Variables	β	SE	Wald Statistics	Odds Ratio
Carnegie Classification				
Doctoral Research Universities	-20.57	11939.36	.00	.00
Masters Colleges and Universities	-20.84	11939.36	.00	.00
Baccalaureate Colleges	-20.44	11939.36	.00	.00
Associates Colleges	-22.37	11939.36	.00	.00
Special focus institutions (Constant)				
Sector				
Public, 4-year and above	1.61	29984.93	.00	5.02
Private not-for-profit, 4-year and above	1.74	29984.93	.00	5.71

Variables	β	SE	Wald Statistics	Odds Ratio
Private for-profit, 4-year and above	3.13	29984.93	.00	22.98
Public, 2-year	-18.74	27505.40	.00	.00
Private not-for-profit, 2-year	-.15	33951.94	.00	.86
Private for-profit, 2-year (Constant)				
Geographic Regions				
New England	-.20	.60	.12	.82
Mid East	.02	.52	.00	1.02
Great Lakes	.85	.56	2.27	2.33
Plains	.03	.49	.00	1.03
Southeast	-.21	.47	.20	.81
Southwest	-.14	.57	.06	.87
Rocky Mountains	-1.12	.66	2.87	.33
Far West (Constant)				
Institution Size (Head Count)				
Under 1,000	2.50	.79	10.00*	12.19
1,000 to 4,999	1.93	.56	10.04*	6.92
5,000 to 9,999	1.67	.53	10.04*	5.31
10,000 to 19,999	.90	.47	3.60	2.45
20,000 and above (Constant)				

*p = < .01

Qualitative Analysis

The first question in Part A of the survey asked if the institution had a) a policy administrator position, b) was considering such a position, or c) did not have the position. The following analysis has been organized by these three categories.

Responses from Institutions With a Policy Administrator Position

Those who answered "a" indicating their institution had the position were taken to the first branch of questions in Part B of the survey. The first few questions in this branch addressed research question 4. The purpose of RQ4 was to assess the consistency in which the term "policy administrator" was applied among institutions. Ninety-three institutions participated in this branch.

RQ4: For institutions with a policy administrator, what is the scope of responsibilities?

Defining the Position

Placement Within Organization. The first question asked to what organizational area the position reports. Respondents were given the option to choose from a list of areas with one option being "other" and asked to identify the other area. Table 14 provides the distribution of responses. The responses are listed in descending order by percentages with almost a third reporting to executive administration and the second largest category receiving approximately half the responses as the first category.

Table 14. Organizational Areas to Whom Policy Administrators Report, in Descending Order

Organizational Area	Count	%
Executive administration	29	31.1
Compliance or risk management	14	15.1
General counsel	12	12.9
Business or financial affairs	9	9.7
Academic affairs	9	9.7
Other	7	7.5
No response	13	14.0
Total	93	100.0

Organizational areas identified in the seven "other" response included: institutional effectiveness (2 responses), a function of human resources, office of the chief operations officer, administration and career development, and institutional research and excellence. One respondent wrote, their institution "created an 'Administrative Policy Group (APG) . . . comprised of a cross-functional group of administrators and faculty."

Responsibilities. The survey provided a list of policy administrator responsibilities and asked respondents to select all that applied to the position at their institution. Table 15 lists

responses in descending order. The top four responses chosen address policy structure and accessibility with relatively few overseeing a policy office.

The option for "other" provided a place to add responsibilities not included in the list. A number of these responses clarified one or more of the above selected responsibilities by listing specific duties included in the more generic descriptions provided or other duties of a part-time policy administrator, which will be addressed later. Two of the 15 respondents used the "other" field to clarify the responses they selected were expectations not yet been fully achieved. An institution in the largest size category (policy position estimated to have been created in 2010) wrote, "All of those to a certain extent, though not as comprehensively as we eventually hope we can accomplish." An institution in the next largest size category (policy position created in 2008) wrote, "We created a policy development workflow and public facing library but at this point primarily university-wide policies are in it and there remain many policy collections at department and division levels that have not been incorporated into it."

Table 15. Key Responsibilities of a Policy Administrator

Responsibility	Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,999 to 19,999	20,000 and above	
	(n = 7)	*(n = 23)*	*(n = 15)*	*(n = 15)*	*(n = 18)*	*(n = 78)*
Collaborates with policy "owners" (functional leaders) in review of policies and processes	5	19	12	13	16	65
Strategic coordination of institutional policies across all areas (e.g., general administration, finance, human resources, facilities, campus services, research and technology, academic administration	5	18	12	12	14	61
Oversees and coordinates policy library, ensuring consistency in formatting/design and publication of approved policies.	5	16	13	12	14	60
Collaborates with policy "owners;" providing functional leadership in development of policies	3	16	13	12	15	59
Promotes policies and procedural functions at college/school level within the institution; providing training and professional development within the college/school	4	7	3	4	8	26
Oversees a policy office	1	4	7	4	5	21
Other	0	2	4	3	4	13

Note: Respondents instructed to select all that apply.

Time Committed to Policy Activities. Of the 93 institutions reporting a policy administrator position, 75 continued with Part B of the survey. Policy administration involvement ranged from part of another position to a policy office in which multiple individuals work with policies. Of these 75 respondents, two thirds (68%) have a part-time position, 16 percent have a full-time position and the remaining 16 percent have a policy office. As one might expect, Table 16 revealed most of the part-time positions were at smaller institutions with a shift to full-time position and policy offices as institution size increases.

For part-time positions, the percentage of time expected to be devoted to policy administration ranged from 5 to 60. Comparing Table 16 showing smaller institutions have a higher percentage of part-time policy administrators positions, Table 17 indicates the smaller institutions' part-time policy administrators devote the least amount of time to policy administration. The two most common percentage-of-time categories (i.e., 11 to 20% range and 21-30% range) were spent by part-time policy administrators in institutions in the next-to-smallest size category (1,000 to 4,999). This category (1,000 to 4,999) also represented the largest number of respondents 19 (37%). Non-policy responsibilities have been uniquely combined with the policy administrator responsibilities at institutions with a part-time position as evidenced by the word cloud in Figure 3.

Table 16 Time Commitment to Policy Administration

Commitment to Position	Institution Size										Total	
	Under 1,000		1,000 to 4,999		5,000 to 9,999		10,000 to 19,999		20,000 and above			
	Count	%	Count	%	Count	%	Count	%	Count	%	Count	%
Part-Time	7	100	19	90	10	71	8	53	7	39	51	68
Full-Time	0	0	2	10	1	7	3	20	6	33	12	16
Policy Office	0	0	0	0	3	21	4	27	5	28	12	16
Total	7	100	21	100	14	99	15	100	18	100	75	100

Table 17. Percentage of Time Part-Time Policy Administrators Devote to Policy Administration

Percentage of Time Devoted to Policy Administration	Institution Size					Totals
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above	
5-10	4	2	3	0	0	10
11-20	0	5	3	3	2	13
21-30	0	8	0	0	2	10
31-40	0	2	3	1	0	6
50	1	2	1	3	3	10
60	1	0	0	1	0	2
Total	7	19	10	8	7	51

Figure 3. Activities Engaged in by Part-Time Policy Administrators (generated using © 2021 FreeWordCloudGenerator.com All Rights Reserved)

Policy Office

Institutions with a policy office were asked for the number of full-time equivalencies (FTEs). This was a free-form field. One respondent entered zero for FTEs. In lieu of a policy office, the respondent wrote, “There is no official "policy administrator" position. In 2020, . . . created an ‘Administrative Policy Group’ (APG) . . .” Another respondent provided a fraction of an employee’s time (2.3 FTEs). This was combined with 2 in Table 18. The two smallest institution categories (i.e., Under 1,000 and 1,000 to 4,999) were not included in Table 18 because no respondents reported having a policy office. Nearly half (5 of 12) institutions have a policy office with 2 FTEs.

Table 18. FTE Employees in a Policy Office

FTEs	Institution Size			Total
	5,000 to 9,999	10,000 to 19,999	20,000 and above	
2	2	1	3	6
3	0	0	1	1
4	0	2	0	2
5	0	1	0	1
6	0	0	1	1
Total	2	4	5	11

Scope of Responsibilities. The purpose of the question, “Is the policy administrator responsible for all institution policies, subunit policies only, or “other” was to determine if institutions with the position have some responsibility for all institution policies. Table 19 reveals this was true for the majority of respondents (63.5%). A few (9%) were responsible for policies in a subunit versus the entire institution.

Table 19. Scope of Policy Responsibility

Responsibility	Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above	
All institution policies	3	13	8	10	13	47
Subunit policies only	2	1	0	2	2	7
Other	2	7	5	3	3	20
Total	7	21	13	15	18	74

Several who chose to respond as "Other" clarified two areas of responsibility: 1) content experts and 2) logistical responsibilities. Following are examples of these distinctions:

> Each major area (President, Provost, HR, etc.) prepares their individual policies. The policy administrator reviews periodic changes, reviews and post new policies, and maintains the policy website.

> The Policy Administrator (General Counsel) oversees policy development and review and maintenance of the online policy manual, but various divisions headed by a vice president are designated as the responsible unit for each policy.

> The scope of my policy work encompasses all University Administrative policies. It does not mean that I 'own' policies but support the owners (70) of the 200 policies in our library. We host the central policy tool that we use, respond to end user questions or suggestions, maintain the historical and current database and more.

One respondent stated responsibility for "University level policies only" with VPs responsible for "divisional policies." A similar response was expressed as policies considered to "cross divisional lines" with subunits managing their own policies. The most common group of policies to be singled out as having its own policy administrator pertained to academic affairs. Another response was "All of the above except financial policies." One respondent explained, "I work at a regional campus within a state-wide multi-site university system. Some policies are system-wide, some relate only to my campus."

One individual described a slow migration to one policy administrator as follows:

> I am specifically responsible for finance and operations division policies (finance, HR, public safety, facilities management, Title IX/EO and some general administration). However, over the past 10 years I've been able to slowly migrate and instill the need for all university policies to fall under one process. While student and academic policies are still managed outside my role, the code of student life and faculty handbook utilize our established policy library and review/approval process. A few other departments (e.g., Student Health Services, Dean of Students) also use the policy library, but are not directly under my purview.

Those who responded "subunit only" (n = 7) were asked to specify the subunit(s). Table 20 lists the 4 subunits plus other subunit identified. The Academic subunit stood alone with one exception in which student services was also specified. The two institutions reported both financial administration and general administration, leaving one response for general administration standing alone. The one safety response was combined with financial and general administration. In other words, four institutions reported overseeing 1 subunit and two institutions reported 2 subunits and one reported 3 subunits for a total of 11 subunits listed in Table 20.

Table 20. Subunit Policies Areas

Subunit Policies	Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above	
Academic	1	0	0	2	1	4
General administration	1	1	0	0	1	3
Financial administration	0	1	0	0	1	2
Safety	0	0	0	0	1	1
Other (student services)	0	0	0	1	0	1
Total	2	2	0	3	4	11

Educational Qualifications and Prior Experience. Educational qualifications required for the position varied widely from a baccalaureate degree to a doctoral degree; the most common being a master's degree (41.9%). The variance was irrespective of institution size as in

Table 21. The "Other" category tallied the unspecified/unknown responses and degrees of individuals currently in the position, but not a requirement for the position. Two institutions will substitute related education or experience for a four-year degree.

Table 21. Required Education Qualifications for the Position

Required Educational Qualifications	Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above	
Baccalaureate degree required	1	2	1	3	3	10
Baccalaureate degree required; master's degree preferred	0	4	3	0	4	11
Master's degree required	2	4	4	1	2	13
Master's degree required; higher degree preferred	2	5	2	5	4	18
Doctoral degree required	1	2	0	0	2	5
Professional degree required (e.g., JD)	0	2	1	1	1	5
Other[a]	1	1	2	1	2	7
Master's degree	0	1	0	0	0	1
JD	0	0	0	2	0	2
PhD	0	0	0	2	0	2
Total	7	21	13	15	18	74

[a]The degrees listed are held by individuals currently in the policy administrator position, but the degree requirement was not specified.

Figure 4 is a word cloud highlighting the desired prior experience of policy administrators. Some respondents noted no specific prior experience had been expressed. One stated their policy administrator was hired from within the organization and her execution of prior responsibilities in the institution made her an obvious choice so no prior experience was formally stated. When it comes time for a replacement, the institution will need to decide on the required experience expected. This could be the case for other institutions who responded, "not

specified." Some required experiences appearing in the word cloud (Figure 4) seem to be specific to subunits policies administration versus oversight of all policies for the institution. For example, academic and student services administration, finance experience, work with assessment, and federal compliance law including the workplace.

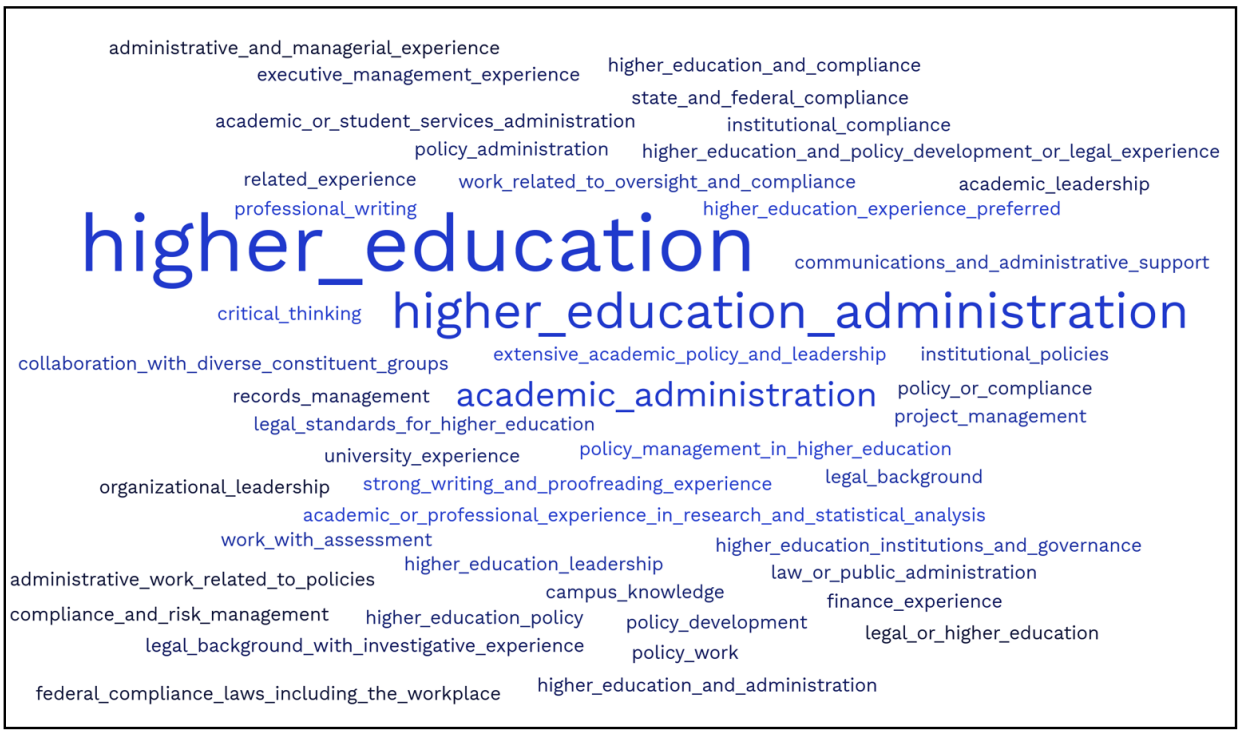

Figure 4. Prior Experience Required for Policy Administrator Position (generated using © 2021 FreeWordCloudGenerator.com All Rights Reserved)

Innovation-Decision Process

The remainder of the survey sought to determine how well the decision to accept or reject the position followed the innovation-decision process described by Everett Rogers:

> The innovation-decision process is the process through which an individual (or other decision-making unit) passes from gaining initial knowledge of an innovation, to forming an attitude toward the innovation, to making a decision to adopt or reject, to implementation of the new idea, and to confirmation of this decision (Rogers, 2003, p. 168).

Knowledge Stage. The survey asked, "What was the origin of the idea to consider such a position at your institution? From the choices: 1) perceived need, 2) awareness of position at another institution, or 3) other. The majority of respondents (83.8%) expressed a perceived need. A number of the "other" responses revealed perceived needs or unknown. Responses were recategorized (Table 22) to move responses from "Other" to perceived need or to "unknown/unsure." The one remaining response under "Other," wrote, "Both. As general counsel, I recognized the need and had seen the position/function at previous institutions." One respondent who selected, "Awareness of position at another institution," a comment under "Other" stating their new president came from an institution with the position. This was listed as "awareness of position at another institution."

Table 22. Origin of Idea to Create the Position

Responses	Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above	
Perceived need to better manage policies on campus	7	18	11	10	17	63
Awareness of position at another institution	0	0	0	1	0	1
Unknown/unsure	0	3	1	4	1	9
Other	0	0	1	0	0	1
Total	7	21	13	15	18	74

In a follow-up question, those who indicated a perceived need were asked to identify the needs. The survey provided a single textbox for respondents to enter whatever they recalled. Eight themes emerged from the list of identified needs. These themes are listed in order from

highest to lowest based on the number of responses received. The size of institution did not influence the needs listed.

Theme 1: Central Repository. Lack of a central repository for all campus policies was the most prevalent need identified by 18 respondents (28.6%). One respondent stated, "development and management of a policy library." A library would facilitate a solution for the following 4 separate responses:

> Definitely a need to better manage policies on campus and centralize them in a web-based solution.
>
> Nor was there any repository to indicate what policies were in effect.
>
> Better coordination of policies, better dissemination of policies, better organization of the various suites of policies that existed.
>
> Replace any "University" policies on departmental websites with the "link" to the policy on the Policies Website.

Theme 2: Consistency. Consistency (15 responses) was often associated with a central repository, but addressed finer details, such as: "guidance on policy writing and policy style;" "standardize policy creation, form, and retention/review;" and information to be included (e.g., policy owner identified). "Clearly distinguish between policies and processes/guidance."

Theme 3: Regular Review. Also, near the top of the list was need for regular review (11 responses); a need to "map the policy review and revision" process. One respondent described it as, "Establish a framework for the development, review and approval of institutional policies." A number of respondents noted a lack of a plan for periodic policy review including a recommended time interval. One noted a "realization that a great many of our policies had not been reviewed in years – decades even." A couple of respondents spoke of "a need for certain policies that other peer institutions possessed but were missing at [institution name omitted]."

Theme 4: Policy Currency. Policy currency (10 responses) was closely related to the theme, regular review. Following are some comments made by some of the respondents.

> Policies were outdated. Some were not consistent with system-level Board Policies; some were old and thus not being followed; In some cases, changes in operations required new policies to be developed.
>
> A way to ensure policies are up-to-date and also do not conflict with Board of Regents policies.
>
> Policies were outdated and not properly formatted. Policies had not been revised in over 10 years.
>
> The medium for policy prior to this time was paper...always out of date, not easily shared and more.
>
> All University policies were reviewed to determine if they were in fact "University" policies versus departmental policies, procedures, and/or practices; passing policies in a timely manner.

Theme 5: Policy Oversight. Ten responses related to policy oversight. In actuality, policy oversight helped ensure all policy issues identified in the survey are addressed. Following are comments clarifying some of the concerns:

> No one to shepherd policy approval from start to finish.
>
> Departments that wanted to change or implement policies were not clear on the process.
>
> Lack of coordination to ensure that policies posted were accurate.
>
> Policies becoming obsolete without oversight.
>
> Insufficient board involvement, ownership and exposure to university-level policies.
>
> General implementation and communication of the policy.
>
> A need for certain policies that other peer institutions possessed but were missing at [institution name omitted]; a mechanism for passing policies that were critical to the institution.
>
> Need to coordinate periodic review of policies and facilitate non-substantive changes (e.g., title or positional changes, grammar, and spelling).
>
> Making sure each was reviewed regularly.

Theme 6: Collaboration Among Administrative Units. Nine comments were received regarding the need for collaboration. One responder described the problem as, “No policy

authority and no centralized responsible party for policies led to a proliferation of contradictory policies from one unit to another." Another expressed the need for "better collaboration and communication about certain issues across all divisions/departments." Two others commented on the need to reduce silos. Others spoke of the need for "policy alignment within a complex and diverse academic structures," coordination of efforts, the need to "minimize contradictions across policies" and "stakeholder engagement." One institution described how it is for them as part of a state university system:

> The institution is part of a large system and its policy processes were formal but local (institutional) processes were occurring within divisions with no shared feedback or single point of contact or publication.

Theme 7: Compliance. Compliance (5 responses) related to keeping current with laws and regulations. These were described as "changing regulatory and business environments," "policies handed down by system office," and "reporting to external bodies."

Theme 8: Accreditation. Three respondents listed the need to meet accreditation requirements. One stated the issue as a "paucity of university policies that could be cited for institutional accreditation purposes."

The next question was more explicit as a way of clarifying the information being sought. It asked, "What created the need (e.g., compliance/regulatory issues, incongruities with one or more other policies)? Compliance/regulatory issues—could be at one or more levels (i.e., institution, state, federal). (Please explain.)." It seems this question may have been too suggestive as almost half of the responses (25 of 53) included compliance. This was true for all institution size categories. Some institutions stated "rising or increasing" compliance requirements. A couple respondents clarified their response by adding "rising," or "increasing" and three others included the focus of the compliance "at the federal level," "related to accreditation," and "with

system-level Board policies." Although, compliance was not stated, the following alludes to compliance, "Our university's accreditor has a policy and procedure review that we will be undertaking in 3 years."

The following quotes capture the essence of the issues stated by the remaining respondents Several made reference to confusion, inconsistencies, and ability to find policies.

> Confusion about policy ownership, review and revision responsibilities, internal tensions.
>
> Inconsistencies between policies, communication obstacles when policies were updated, deprioritization of regular policy review, and a growing awareness of outdated titles leading to confusion.
>
> Difficulty finding the relevant policy in some instances.
>
> New president (started in 2015). University accreditation review outcome exposed inadequate policy guidance for university standards. President's initiative to bring all university-level policy to board of trustees for regular review. All the benefits that come with regular policy review by all stakeholders.
>
> There was no ownership of policies by the administration and there was no inclusion of the community in the policymaking process.
>
> New general counsel embarked upon a strategic plan to streamline some of the legal processes and resolve some of the longstanding complaints about legal-managed initiatives at the university.
>
> Inconsistent policies; old policies; recognition that one faction of the university should not be able to block important initiatives; missing policies that were critical for regulatory or legal reasons.
>
> Increased need to make sure that departmental level policies were consistent with University-wide policies.
>
> General lack of consistency, coordination, and communication about policies across the campus.

Persuasion Stage. Of the 71 responses to, "how long did it take to implement or reject the idea of the position?" 18 respondents (25%) stated, unsure or unknown. Of the remaining 53 respondents, more than half (64%) indicated it was quick.

> There was really no overt decision. The VP of Finance and Campus Operations realized the need and created the protocols and Policy on Policies that was generally accepted by the President and Provost. Just started doing it because no one else was doing it or really even aware of the need.

> There is no debate on the importance of a policy administrator–no persuasion required–when regular policy review is driven by the board of trustees and the president of the university.
>
> Description of the issues and solution were brought to the President's Cabinet at the same time so position was implemented right away.
>
> It was relatively clear the position was needed and the impact was more evident with a new Provost coming in who was aware of the inconsistencies.
>
> Was accepted quickly and implemented in one academic year.
>
> It just happened.
>
> It did not take long; everyone seemed to recognize the need and the policy administrator was able to score some early wins through setting policy standards and processes.
>
> Once it was proposed that the position be created, it was accepted. There wasn't any objection to the position.
>
> We accepted the position as necessary immediately and moved in that direction.
>
> Top down decision...no rejection considered...
>
> It was an obvious need.

The remaining responses (19) ranged from a few months to six years; half (10) stated one to two years. Several added clarifications, such as:

> From awareness to establishment of the policy position took one year. To clarify roles and authority and process has taken several years;
>
> 1-2 years. Initially rejected, but eventually once other forms of policy control failed, the position was created.
>
> It wasn’t so much persuading about a position . . . but persuading to resource the tools (policy hub app) and additional staff support took a few years. . .

The survey asked, “What was/were the motivation/factor(s) that led to the decision to create or reject a policy administrator position? (List all that apply, identify the most salient factor(s), and explain why each factor was salient.)” The themes that emerged from this were similar to the needs identified earlier, but the frequency was different. Ten of the 68 respondents were unsure. The remaining 58 responses were used when calculating percentages of responses.

Some respondents listed two or three motivating factors, so the percentage total exceeded 100 percent.

Theme 1: Oversight. This motivating factor was clearly the leader with 28 (48.3%) of respondents listing it. This was a little more than twice the responses for the next highest factor. Not all comments counted in this area explicitly stated the need for an individual, but processes do not manage themselves, so it was assumed oversight was a key component of the responses given. A number of respondents recognized to meet the needs identified earlier, oversight was necessary. A number of the respondents articulated this well.

> As general counsel, I realized that we needed policies to conform with legal requirements. Not only did we need to create policies that were in compliance, but we also need to make sure we had a process to review them to ensure that the laws and policies were in sync over time. I also recognized that it is much easier to defend the university when people are following good, clearly worded, mission-driven policies. And I realized that we could not do this without someone being in charge of and owning the process.
>
> Accountability – accreditation demand and improved campus efficiency. Need to put responsibility in a specific individual's position description.
>
> Contradictions between units led to gridlock and exceptionalism. We simply had to have a central policy authority for the institution.
>
> Lack of time among the departments to develop a standardized and cataloged reference resource containing all approved policies in the University that would be current . . .
>
> Need to have a central map of ownership, so we can know who will review and revise policies appropriately.
>
> Employees saw the need for the position, so that was the motivation.
>
> To have someone to manage this to ensure that only University policies were included and to assist staff when new policies were being created or existing policies revised.

Theme 2: Compliance. Twelve respondents (20.7%) listed compliance. This theme could possibly have been included in oversight, but it was specifically listed as a motivation factor.

> Key motivational factors included: the need to quickly demonstrate compliance with multiple SACSCOC policies and standards by creating approved policies and procedures and archiving evidentiary documents.

> Need to better organize and management policy on campus. Need to ensure that we are meeting regional accreditation standards (Middle States).
>
> Again, the need to get organized and establish an institutional compliance function. Organizing policies and procedures was a natural first step.
>
> Compliance/regulatory issues and incongruities among policies – The position was established around the time of preparing for our reaffirmation of accreditation.
>
> Compliance (Clery Act violation/fine) and outward policy visibility/availability. The University was found to be in violation of the Clery Act. Thirteen new policy documents were created in a response to that issue and, in my opinion, was the reason why the policy development process and policy liaison role/administrator finally stuck.
>
> Compliance, people did not know where to go or who to ask, many decisions made without understanding the policy and regulatory environment. RISK!

Theme 3: One Repository. Ten respondents (17%) identified a single repository as a motivating factor. Having one repository evokes consistency in formatting, process, etc.; which overlaps with the first theme, oversight.

> Secondly, having the ability to point to and reference a written policy (that was posted online in one location) that was drafted in accordance with specific processes and then archived when superseded was also crucial.
>
> Need to organize our policies into one repository, so we can easily find things and to make onboarding new staff more effective and efficient.
>
> . . . desire for better transparency of policy throughout the institution . . .
>
> Policies were kept by policy owners in separate locations. The goal was to consolidated policies into one place.
>
> Awareness and ease of finding policies.

Theme 4: Up-to-Date Policies. This theme could easily have been included in other themes, but six (10%) respondents specifically stated this as a motivating factor.

> Embarrassment of not having enough policies to point to when important questions arise. Risk awareness. Risk management. Transparency. Inability (or limited ability) to hold someone accountable without policy.
>
> Recognition of the outdated policies due to new personnel in administrative positions.
>
> Need for up to date policies; need to communicate and post most recent policies. This was identified as a need in a Strategic Plan for the University.
>
> Our policies were a mess – outdated, decades old.

A few comments received did not fit with the themes but are worth noting:

> Our university has a culture of not pushing back on Trustee or System office requests.
>
> Risk Management.
>
> Created because everyone saw the need.

The answers to the question, "Was the idea to create this position readily accepted/embraced by the campus community?" ranged from "Of course not" to "It was embraced" with a gradation of responses in between. Of the 63 responses (responses of "unknown" not counted), 47 (74.6%) were positive, 11 (17.5%) were neutral, and 5 (7.9%) were negative. Respondents were asked to explain their answers. The follow sampling of responses is ordered from positive to negative. As you will see, answers did not fall solidly in one of the three groupings listed. Some were "yes, but . . ." in nature.

> **Accepted:**
>
> Readily accepted as it did create one place for individuals to find policies/regulations.
>
> Yes, I would say it was as many recognized the lack of organization and consistency among policies across the campus.
>
> It was accepted because the campus struggled for years with processes that were not consistent or clear.
>
> Accepted. There was general understanding that greater coordination was needed in maintaining policies and keeping them up to date.
>
> I believe so. There were common understandings among the impacted parties of the challenges in this area.
>
> It was immediately accepted by all but those benefiting mostly from the contradictions in policy.
>
> **Ambivalent/Neutral:**
>
> For the most part, yes. Some had issues with loss of control.
>
> No one really cared.
>
> Over time.
>
> It was tolerated and cooperated with.
>
> It's under the radar for most of campus. Those who are aware do not seem to have any issue.
>
> It was not discussed widely. The person just took on the role and began to do their job.

Did not really get attention of the campus community.

Some resistance:

There was not much pushback. Budget was the only issue. Still very underfunded.

It took a few years for this to catch on but as people started to see the centralized, public policy library grow, they started to realize that this process was here to stay and it's much better to participate in the process so that your voice is heard.

Faculty had some reticence, as it appeared to be another administrator with more bureaucracy associated with the function. Administratively it was approved and supported as necessary.

Not really...but with consistent training and application was accepted.

Not accepted:

No, and it's still not on an overarching level. It's a matter of change (teaching and educating individuals as to why this has to/should happen) and support (upper level administration endorsing/approving the concept and process). The support has been increasing, but not dramatically until three-four years ago when I was approved to purchase a policy software management solution. . .

Of course not! Because: lack of funding.

Decision Stage. When asked if they (the respondents) were part of the decision-making process when the position was adopted, 41 (59.4%) said no and the remainder, 28 (40.6%) said yes.

Respondents were provided a list of possible components salient to reaching a final decision whether or not to create the position. They were instructed to check all that apply. They were given an opportunity to add components not included in the list. Table 23 lists each option in order of selection from highest to lowest based on the total selected by institution sizes. This rank order was the same for each institution size except for the *20,000 and higher*. The variation among the components was slight.

Most responses to "other" were to indicate they did not know. One respondent further clarified, it was because the position was created before they joined the university. Actual other components listed were:

Ensuring that the community had the opportunity to weigh in on proposed policies was one of the key factors for acceptance of the process.

It is less about alignment at various levels as it is about establishing levels for policies – the policy coordinator is responsible for institutional policies only. Therefore, the creation of the position also defined policy hierarchy on campus in ways that was not clarified before.

Highest risks to the university were addressed via policy.

Collective perceptions of risk.

Table 23. Components Salient to Decision-Making Process to Accept or Reject the Position

Salient Components	Institution Size					Total
	Under 1,000 (*n* = 7)	1,000 to 4,999 (*n* = 21)	5,000 to 9,999 (*n* = 11)	10,000 to 19,000 (*n* = 15)	20,000 and above (n = 13)	(*n* = 67)
Review existing policies and update on a regular basis	7	17	11	11	10	56
Appropriate policies are in place and kept up-to-date to meet federal, state compliance requirements	5	17	11	11	11	55
Desire to formalize policy process	5	16	11	9	11	52
Alignment among policies with external policies (e.g., federal, state, board of regents)	5	16	9	8	10	48
Alignment of policies at various levels of the institution (e.g., school/college policies aligned with related university policies)	5	15	8	7	8	43
Vet policies by appropriate committees, etc.	3	12	8	7	10	40
Other	1	4	2	4	2	13

Note: Respondents instructed to select all that apply.

Based on Rogers' diffusion of innovation theory, the survey asked to select one of the following types of decision used:

> *Optional innovation-decision* are choices to adopt or reject an innovation that are made by an individual independent of the decisions of the other members of the system. . .
>
> *Collective innovation-decisions* . . . All units in the system usually must conform to the system's decision once it is made.
>
> *Authority innovation-decisions* . . . made by a relatively few individuals in a system who possess power, status, or technical expertise" (Rogers, 2003, p. 28).

By far, the majority (91.5%) of respondents who knew the answer chose *collective innovation-decision* or a*uthority innovation-decision* with equal numbers (27 each) selecting one of these two choices. Previous answers to questions for the two institutions that chose *optional innovation-decision* were reviewed to gain further insights. One institution's policy administrator was responsible for a subunit (academic) versus all policies for the institution, which seemed like a logical explanation for this choice. However, no additional information shed light on this choice for the second institution.

As with some earlier questions, the "other" option was used to inform if respondent did not know the answer to the question. These choices were moved from "other" to "unknown" in Table 24.

> Responses received as "other" included:
>
> The idea was brought to the attention of the President and she gave approval. There wasn't a decision process other than she agreed to the position.
>
> The president who hired me charged me with creating a policy making process and operating it along with coordinating legal matters for the institution. He was a retired coast guard officer and his academic discipline was organizational development and business and he valued notice and open processes.
>
> None of the above apply. We have 3 distinct campuses – each has its own faculty senate and student senate, constitution, and faculty handbooks. The only consistent document across all 3 campuses is the employee handbook (which primarily impacts staff). So, the policy procedures and implementation are specific to each campus.

Table 24. Type of Innovation-Decision

Innovation-Decision	Number of Responses by Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,000	20,000 and above	
Optional innovation-decision	0	1	0	1	0	2
Collective innovation-decision	1	8	6	6	6	27
Authority innovation-decision	6	8	4	4	5	27
Other	0	1	1	1	0	3
Unknown	0	3	1	3	2	10
Total	7	21	12	15	13	68

Implementation Stage. The next three survey questions were related. They ask what were the goals and desired outcomes of the position when it was created, what issues needed to be addressed to achieve these, and how have these goals or outcomes been realized. Table 25 was created to maintain the relationship of the responses to each of these questions. Each row represents responses from an individual institution. The sample selected for the table were chosen based on the idea in mind that this information could be beneficial to institutions who are considering such a position in the future. The year the position was established and the FTEs dedicated to policies are noted at the end of each response in the third column for an additional perspective.

Table 25. Issues Addressed to Meet Goals or Desired Outcomes of the Position

Goals or Desired Outcomes	Issues to be Addressed	Goals or Outcomes Realized
"Centralization of policy repository, clear mapping of	"Who had what and where, identifying gaps and overlaps,	"Largely, yes."

Goals or Desired Outcomes	Issues to be Addressed	Goals or Outcomes Realized
review and revision cycles, and improve onboarding processes."	addressing the need for clear lines of authority where there were gaps and overlaps, and updating schedules for reviews."	Year established: ≈ 2018 FTEs: 0.1
"To have some central control and oversight of policy creation and publication."	"Getting tacit policies from departments other than the core business functions, and general administration."	"Ongoing." Year established: ≈ 2004 FTEs: 0.1
"Regular review of policies by the board of trustees. Specifically, anywhere from 1 to 7 policies must be brought to the university board of trustees four times a year. All board approved policies must be published in a single place on the university's website."	"Where do I start? An enormous amount of planning, preparation, and trial and error was required—and is still required—to keep the "policy train" on schedule and productive. Issues that needed to be addressed: (1) Ownership of policies. Who gets final say on revisions? (2) Stakeholder review process. Is it sufficient to address all official interests across the university? Are all stakeholders sufficiently involved? (3) Role of the policy Administrator/ Coordinator. Who should this role report to? How much authority is this role given to resolve disagreements? (4) Frequency of review. (5) Editorial style guidance and standards for policies at all stages of policy development. (6) Technology used for policy management. (7) Sufficiency of peer policy review. (8) Record keeping. How should policy changes be tracked and stored for posterity and future reference? How are policies organized and categorized?	"Yes. But they are constantly changing and evolving." Year established: 2016 FTEs: 0.2

Goals or Desired Outcomes	Issues to be Addressed	Goals or Outcomes Realized
	(9) What elements should every policy contain?"	
"Ensuring that we had a person who: (i) had a background in the policymaking process, (ii) understood the value and importance of having policies, (iii) would be able to lead and partner others in conforming to the policymaking process at our institution, and (iv) would own the process from a proposed policies inception to its ultimate publication."	"It was absolutely critical that the president of the university support this new process for the institution. Without leadership from the top, the process would most likely not be as successful."	"One of the key factors was that we created a Policy on Policy Development which helped the community understand the process and procedures. We also created a policy website that is updated regularly. We established a public comment opportunity for all policies, and we place completed policies in a centralized, searchable web-based repository library." Year established: 2015 FTEs: 0.4
"The goal was to create a policy library and provide consistent policy across the System."	"We needed to develop an IT infrastructure to house the policies and develop a process for creating policies."	"We collaborated with our sister institution for the IT structure and process development." Year established: ≈ 2013 FTEs: 0.15
"Create a central repository of policies, which all conform to a standard template and are approved through a standard process according to delegated authority."	"Inventory existing policies, clarify issuing authority, eliminate conflicting policies, educate campus community about policy development and review."	"Yes." Year established: 2008 FTEs: 0.33
"To lead a comprehensive initiative to standardize university-wide, institutional policy development and administration under the auspices of the Office of Enterprise Risk Management and Compliance."	"There have been no major issues. The development of the process for creating institutional policy has improved the institution's ability to distinguish between different levels of policy and has clarified responsibilities."	"It's a work in progress, but much progress has indeed been made. The institution now has a functioning policy development process that is well accepted on campus. Individuals participate in the process readily and there has been good support for the implementation of new

Goals or Desired Outcomes	Issues to be Addressed	Goals or Outcomes Realized
		policies. All in all, it has been a good success." Year established: 2015 FTEs: 0.6
"(1) uniformity in policy adoption, appearance and periodic review; (2) federal and state compliance: (3) consistency across entire University."	"(1) What is a University-wide policy? (2) What do we do with processes that accompany many policies? (3) What needs to be in a policy (drafting the template)."	"Developed a policy on policies that answered each of the questions above." Year established: ≈ 2017 FTEs: 1
"To create a systematic policy process, including format, approval process, library, etc."	"Communication with various policy owners to bring them into the process."	"Yes" Year established: 2008 FTEs: 0.5
"Create and maintain a reliable and current library of well-vetted, approved and authoritative policies of university-wide importance."	"Find the policies. Update the policies. Put the policies into a standard format. Work with web development experts to design the policy library."	"After 15+ years, the policy library is widely known and accepted as the university's authoritative institutional policies. When the need for revising a policy or creating a new policy arises, university members come to the policy administrator for guidance through the policy process." Year established: ≈ 2004 FTEs: 0.5

When asked if another institution was used as a role model when designing the position, 13 of 67 respondents (19.7%) said yes. The remainder (80.3%) said no. This response was somewhat surprising since a question earlier in the survey (knowledge stage) asked, "What was the origin of the idea to consider such a position at your institution?" The choices were, 1) perceived need to better manage policies on campus, 2) awareness of position at another institution, or 3) other. Just 3 of 74 institutions (4%) responded, "awareness of position at

another institution" compared to the 13 institutions stating they used another institution as a role model.

Kingdon (1984), in reference to his three streams theory, noted some solutions are observed before a problem is realized. When a problem is realized, the solution seen earlier comes to mind. In the case of the policy administrator position, it appeared the problem came first causing institutions to turn to other institutions for a solution; resulting in 13 institutions being used as a role model.

Of the 13 institutions that used another institution as a role model to create their policy administrator position, 2 (15.4%) mimicked the institution they used as a model and 11 (84.6%) re-invented the position. Those who reinvented the position were asked what changes were made during implementation and why. Here are the responses:

> Several changes to the scope of the policy review committee and added additional processes to satisfy shared governance.
>
> Changes were based on the size of the institution and the other job duties of the policy administrator.
>
> Streamlined the position and process for a smaller institution.
>
> Ethics and Compliance centralized under one unit.
>
> We reviewed best practices and made our policymaking process more flexible.
>
> Half time policy administrator is not uncommon. This concept was applied to the other job duties/responsibilities that needed to be done (e.g., office management, special projects) to create a full-time position.
>
> Specifics are not known by me. I do know that the Cornell position/model was looked at extensively.

Confirmation Stage. The question, "What confirmed having the position within the institution? (Please explain.)" confused many respondents. Of the 62 responses received, 10 (16.1%) stated they did not understand the question and did not make an attempt to respond to it or stated they did not know, 17 (27.4%) named the title of the individual who advocated for the

position, and 13 (21%) restated needs. This was a difficult question to craft due to a hesitancy not to over direct respondents' thinking; however, of the other remaining 22 responses, 1 (1.6%) stated it was too early to tell, 2 (3.2%) were unclear as to whether they were restating needs or outcomes, and 19 (30.6%) clearly stated outcomes indicating the position proved to be beneficial to the institution. Here are a few examples of those benefit statements.

> Being able to reference policies quickly for a large number of new hires since doing this and ease of collecting policies for our 10-year accreditation review.
>
> Greater acceptance to looking for the policy first before acting on an issue. Having the policy regularly available and current. Made the accreditation process much easier and thus less painful.
>
> Existing arguments over differences in policies and implementations. This was highlighted by COVID responses where staff in various units received differing messages about how we would respond.
>
> Results. The policies are being reformatted, reviewed, and published in a timely manner.
>
> There's now a cultural understanding of policies and a growing interest in doing things right.
>
> Campus reaction of having a central place to have the policy function managed and not haphazardly.
>
> Credibility has been created and a functioning accessible policy resource exists.

The next question asked about the attitude toward the position after it was implemented. Table 26 clearly showed the majority (97%), accepted the position. Three percent experienced some disenchantment, but this disenchantment was not at a level of starting to discontinue the position.

Those who indicated there was some disenchantment were then asked, "What skepticism or doubt was suggested/expressed? The two responses were:

> The policy librarian is in charge of a committee which approves all policies. This has slowed down approval of minor and routine changes because the librarian is unsure of the role played by the librarian in approvals.
>
> Chiefly that the position was a waste of resources.

Table 26. Attitude Toward Position After Implementation

After Implementation, was there. . .	Number of Responses by Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above	
Confirmation the position was accepted within the institution	7	20	11	13	13	64
Disenchantment	0	0	1	1	0	2
Disenchantment with a move to discontinue the position	0	0	0	0	0	0
Total	7	20	12	14	13	66

The survey asked, "Now that the policy administrator position has been created, how does the position contribute to the overall operations of the college or university?" Thirteen of 64 responses did not provide specific contributions as "too early to tell," "significantly and in multiple ways," or "essential role." From the remaining 51 comments, three themes identifying specific contributions emerged, plus several relevant miscellaneous comments. The themes are listed in order of the number of comments received, starting with the most frequent.

Theme 1: Policy Review and Development. Twenty respondents (31%) identified the policy review and development aspect of the position as a positive contribution to the overall operation of the institution as evidenced by the following sample of comments:

> Position is a wonderful source of reminders about the calendar for reviews. It's also a wonderful resource when looking for history of policies.
>
> Helping us evaluate policies for usual reasons but also for equity language.
>
> Provides consistency, single point of entry for new and updated policies, review process.
>
> Position helps to organize policy development and insure that stakeholder input in the drafting of policies and acceptance at the administrator level.

It has reduced confusion about policies and their development and fostered adherence to policies.

Provides valuable services to the campus community relative to policy formations and revisions and answering questions regarding policies, ensuring that review/approval of all University policies is documented and maximizing compliance with policies.

There has been significant support from across the institution for the work of the policy position. Therefore, the role has been fully integrated into the overall operations of the institution. Placing the position in the Office of Enterprise Risk Management & Compliance and working in close cooperation with counsel has been very helpful in allowing the position to work on engaging campus constituents to proactively work on establishing policies.

Increased engagement in policy development and ability to hold people accountable.

We provide the mechanisms to create or revise administrative policies, and house the final versions. We've incorporated many steps to engage the University community prior to policy publishing. The University generally fares well in external audits when it comes to the availability, readability, and accessibility of policies for the end users.

Theme 2: Consistency. Ten respondents (15.6%) viewed consistency as an important outcome of the position as evidenced in these four comments:

Increase in consistency between related policies; fewer instances of confusion resulting from outdated policy language or position titles.

Policies are more up-to-date and more uniform at the central level.

Policies are vetted and applied through a consistent process.

We now have a consistent policy format, approval process and library of policies.

Theme 3: Foster Campus Culture. Ideas from five respondents (7.8%) expressed a change in how the institution community has embraced policies; transitioning to a culture of trusting and supporting policies, resulting in greater policy compliance.

Office of University Compliance promotes a culture that builds compliance consciousness and ethics into every employee's daily work activities and decisions. It also supports and assists the university community by communicating, educating, monitoring and facilitating activities to ensure a strong university-wide compliance program.

Position helps to provide an umbrella over the university operations, bringing all the policies together.

> Demonstrates comprehensive compliance to university standards and transparency to internal and external stakeholders.
>
> Having a person in the position to guide the policy process and ensure that the procedures are followed, strengthens the institution because people have faith that the policy process is fair and that they have a voice in the process (shared governance), people are aware that they are required to abide by our policies, and the university is protected when we follow our policies.
>
> When policies are accurate and valid, it helps guide campus departments in operations.

Some respondents took this opportunity to express the need for time devoted to the position. The percent of the PA's time devoted to policies is noted in brackets following each response.

> Policies are maintained to a certain degree and we are perceived as being "in compliance". The problem is that we are having a hard time keeping up with the volume of work necessary. [Position is 20% of an individual's time.]
>
> It does not fully contribute to overall operations. That has been very apparent during the time of COVID-19 where Executive Council and the Pandemic Planning Team, made policy during its meetings and posted it to a blog/website for implementation. . . . Should this position be extended to full-time I can see it becoming integral to all campus facets (including academics) rather than being an afterthought. [Position is 50% of an individual's time.]
>
> It is improved, but needs more resources to keep up with the multiple changes in the regulatory environment: local, state and federal. [Position is full time.]
>
> I think most of the goals have been achieved at some level. It is always a work in progress, and we are now experiencing turnover in the policy administrator position so we will be entering a new era. [Institution has a policy office with 2 FTEs.]

The last question of branch 1 asked for "additional information you think may enhance this study—a story of your experience, a list of lessons learned or if we had only known, etc." This question garnered 26 responses.

Two respondents identified the need for institutions to create a policy on policy and a third individual alluded to it. A policy on policy outlines the required elements of all policies which often includes: naming the policy owner by position title (e.g., VP for finance, VP for advancement, HR), a standard format for policies, numbering scheme for institutions who assign policy numbers, approval process, and expected review cycle. This is the foundation of

consistency, which has been noted to be highly valued by respondents earlier in this survey. Here is what these three said:

> The need for a policy on policies – divisions, and faculty seem to think they can create their own policies and they generally do not align with college policy. ugh!
>
> Systems and protocols are necessary in order to develop policies. Training is also necessary. These are unintended areas that need to be addressed with each policy.
>
> It took a great deal of time to develop the policy on policies, and while that sounds strange, is absolutely critical in determining scope of the project.

Three individuals expressed the need for the policy administrator to have experience working in higher education.

> The current policy coordinator does not have a legal degree but that does not appear to be a hindrance for this position. An understanding of working in the higher education environment appears more important than very specific degree credentials. The institution's policy coordinator finds it very helpful to have had experience with shared governance and an awareness of the role of collective bargaining units at the institution (although neither play a direct role in the policy development process). Especially larger institutions of higher education are complex administrative structures. It is important to be aware of the intricacies when institutionalizing policies (especially since not all policies are equally palatable to all members of the institution's community).
>
> The person hired did not have higher education experience which was problematic. . .
>
> Now in 2021, the original policy administrator named in 2005 is still the only policy administrator the university has had. Part of the reason for the PA's selection was institutional knowledge due to being the university's director of internal audit for several years. . .

Two respondents identified individuals who need to be part of administrative processes. This was in keeping with statements made earlier regarding the policy administrator participating in senior administrative meetings or the president's cabinet. This suggested the importance of the policy administrator knowing what's happening in all aspects of campus so they are aware of the various entities that may be affected by policy decisions.

> We now include a [Department of] Dynamic Policies representative at most Administrative and Faculty meetings including strategic planning sessions as a participant or observer.

> I can't emphasize enough that it's important to include not just stakeholders but also the general community in your policymaking process.

The following are stories of individual's experiences and lessons learned. In some cases, the administrator to whom the survey was sent passed it on the policy administrator to respond. At least one story was from a policy administrator.

> COVID management required the quick development of a lot of new policies; some of which have had multiple revisions. These are publicly posted which has assisted with compliance.
>
> One difficulty is getting everyone to follow the process and stopping them from circumventing the process. Because the position is only a part of the office it is difficult to get 100% buy in for the process.
>
> My experience was rather seamless as the university community strongly desired some clarity in the chaos of the policy process. I believe almost anything would have worked.
>
> Do not reinvent the wheel. There are many success stories across higher education that can be modeled.
>
> [Institution omitted] is much better off for having created the APG [Administrative Policy Group], but it was not without many difficult conversations, mostly with our faculty colleagues. Academic Freedom is an important and critical concept in higher education, but so is the concept of shared governance; and the make-up of the APG being what it is (cross-functional) achieves the happy medium between both concepts.
>
> If you have no familiarity with policy processes or development you are at the mercy of those you are able to connect with or you must teach yourself. I would be LOST without the Association of College and University Policy Administrators. It is through this organization that I've been able to beg, borrow and steal (we encourage NOT reinventing the wheel) ideas from other policy administrators when it comes to specific policy topics, or policy development processes/tools. With regard to creating a policy administrator role/position, you have to have support at the top or within your division to make any headway. Once you are known for what you can do, changes can be made and the role of the administrator can be expanded. Ultimately, by doing your job well you can slowly chip away at those that show resistance and bring about positive university-wide change.
>
> We built our workflow and policy hub internally with IT staff it would have been wiser to purchase a product although access to funds would have been challenging it was similarly challenging to retain time and attention from IT to get the app to a functional state. It is not really complete even now.
>
> This is an important function that is often implemented after lack of compliance or coordination problems have already happened. It should be moved into the blueprint of how to set up an effective org structure. It can be housed in different areas. I would include it as part of the risk and compliance function.

> Form a policies committee and ensure the RIGHT INDIVIDUALS are on the committee. These employees are responsible for vetting draft policies with their home departments/divisions to identify any issues that they may have with a new or revised policy. But when they come to the Policy Committee, they're thinking with their University hat, not their home department/division hat. Then they're responsible for informing their home departments/divisions of the requirements of the new policies. These folks need to be well connected with and respected by their home departments/divisions.
>
> Use a good tracking system to measure performance and make sure you have at least one full time person who can manage the workload. If you review policies every two years to ensure they are maintained, make sure you hire enough people to reduce the number of polices under review to a manageable number.

The following statement came from a relatively large state institution where a full-time position was created in approximately 2017. This respondent did not give permission for me to reach out for further clarification. Having a better understanding of this situation may have been beneficial to other institutions creating a position in the future.

> The policy process has become opaque, lengthy and cumbersome. Routine housekeeping changes do not happen in a timely fashion. The process of policy change is not understood on campus.

Responses from Institutions Considering a Policy Administrator Position

Innovation-Decision Process

Survey respondents who answered “b” indicating their institution is considering the position were taken to the second branch of questions in Part B. Of the twelve respondents, ten stated they are involved in the decision process considering the position. Two respondents are not involved.

Respondents were provided a list of possible components salient to the discussion regarding whether or not to create the position. They were instructed to check all that apply. None of the institutions selected all six options listed; however, two options were selected by 83% and the remaining four options selected by 67% of the institutions. Table 27 lists each

option in order of selection from highest to lowest based on the total selected by all institution sizes.

Table 27. Components Salient to Discussion of the Position

Salient Components	Number of Responses by Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,000	20,000 and above	
	(*n* = 2)	(*n* = 4)	(*n* = 2)	(*n* = 3)	(n = 1)	(*n* = 12)
Desire to formalize the policy process	1	4	2	2	1	10
Review existing policies and update on a regular basis	1	4	2	2	1	10
Vet policies by appropriate committees, etc.	2	2	2	2	0	8
Appropriate policies are in place and kept up-to-date to meet federal, state compliance requirements	1	3	2	1	1	8
Alignment of policies at various levels of the institution (e.g., school/college policies aligned with related university policies)	1	3	1	2	1	8
Alignment among policies with external policies (e.g., federal, state, board of regents)	1	3	2	1	1	8
Other	0	1	1	1	0	3

Note: Respondents instructed to select all that apply.

The three “other” responses were as follows:

Desire for transparency in our operations for external and internal stakeholders.

A desire to rely on our Associate General Counsel to coordinate compliance, rather than fund and create a full-time role.

You pretty much hit all the big ones. Ad Hoc decision-making is ruling the day and creating problems for us.

Knowledge-Stage. Similar to branch 1 of part B, branch 2 was also asked, "What was the origin of the idea to consider such a position?" Respondents were given the choices: 1) perceived need, 2) awareness of position at another institution, or 3) other. The majority of respondents (83.3%) expressed a perceived need. This was very close to the response in branch 1 (83.8%). One institution (9.3%) selected "awareness of the position at another institution." This response was explained as, "We have hired senior administrators who had experience at another university that had such a position and found it useful and advantageous." Institution size did not seem to be related to the choice of perceived need (see Table 28). The one "Other" response listed a perceived need, so this response was moved to the first category. The one respondent who selected, "Awareness of position at another institution," stated their new president came from an institution with the position.

Table 28. Origin of Idea to Consider the Position

Origin of Idea	Institution Size					Total
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above	
Perceived need to better manage policies on campus	2	4	1	3	1	11
Awareness of position at another institution	0	0	1	0	0	1
Total	2	4	2	3	1	12

In a follow-up question, those who indicated a perceived need were asked to identify those needs. No list of possible answers was provided for this question. The survey provided a single textbox for respondents to enter responses. Because of the low number of respondents (11), it was difficult to identify for themes. Therefore, responses were compared with the eight themes, which emerged from the responses received from those institutions who have implemented the position. Each theme was identified by at least one respondent from branch 2. The themes are listed in order of prevalence as they pertain to branch 2 respondents.

Theme 1: Oversight. Five of eleven respondents (45.5%) identified this as a need. By comparison, respondents from branch 1 were very clear in stating the need for oversight of policies and the policy process. For the most part, respondents from branch 2 did not clearly state oversight, but issues listed would be addressed by oversight.

> Confusing or contradictory policies.
>
> A need to formalize processes and procedures to document expected practice.
>
> Need to better manage policies and improve visibility.
>
> There is a very decentralized process w/ no ownership in a particular division. Thus, there is not overall oversight of policies and compliance.
>
> A lack of awareness of policies and need to avoid conflicts between institutional and system policies.

Theme 2: Consistency. This theme, along with the next two, had the same frequencies. Three respondents (27.3%) compared with 23.8% of respondents from branch 1.

> Policies needed better consistency.
>
> Making sure that all policy manuals were internally and externally consistent.
>
> Organization and codification; compliance schedule; consistency.

Theme 3: Accreditation. Three respondents (27.3%) identified this theme compared with 4.8% of respondents from branch 1.

> Lack of a 1-yr vision to support accreditor needs.

Making sure that university policies were in concert with accreditation policies.
Need to update to comply with accreditation expectations.

Theme 4: Regular Review. Three respondents (27.3%) identified this theme compared with 17.5% of respondents from branch 1.

More timely reviews.
Need to update more regularly.
Discordant and conflicting policies.

Theme 5: Central Repository. A central repository was the most prevalent theme for branch 1 with 18 (28.6%) respondents listing it; compared to one respondent (9.1%) stating, a similar need (i.e., "Have an organized and accessible policy manual"). The responses from branch 1 indicated a desire for electronic access to policies. No one from branch 1 used the term, *policy manual*. The concept of a central location is the same, but the use of the term *manual* seems to imply they may be thinking hardcopy versus an electronic location associated with a policy library.

Theme 6: Policy Currency. This theme was closely related to policy review in that a number of the respondents (15.9%) in branch 1 addressed issues with policies being outdated versus a systematic approach to policy review. The one response (9.1%) from branch 2 stated, "creating policies to address faculty and staff concerns" seemed to deal with identifying potential policies to be created.

Theme 7: Collaboration Among Administrative Units. One respondent (9.1%) identified this theme compared with 14.3% of respondents from branch 1. This respondent wrote, "lack of coordination between academic units with similar challenges (practicums for example, fitness to practice designations for students training—in placements to work with vulnerable populations)." This is a stretch for this theme because it refers to academic units versus all

entities (e.g., finance, HR). The next question on the survey revealed the intent of the responder was for a policy administrator was to create the position for the academic division versus the entire university.

Theme 8: Compliance. This theme ranked with the least responses for both branch 1 (7.9%) and branch 2 (9.1%) of the survey. The response was, "Making sure that university policies were in concert with state and federal policies."

The next question was the same as for branch 1. It read, "What created the need (e.g., compliance/regulatory issues, incongruities with one or more other policies)? Compliance/regulatory issues—could be at one or more levels (i.e., institution, state, federal). (Please explain.)." Most of the responses were simple and straightforward. They included, compliance, regulatory issues, accreditor concerns, new administrator, and some referred back to their answer to the previous question about perceived needs. The following responses were more insightful.

> Compliance/regulatory issues (state and federal), policy confusion and incongruity, inconsistent policies leading to confusion for faculty and staff, and an Ad Hoc decision-making process which resulted in different outcomes for the same event (e.g., promotion, leave of absence).
>
> Risk concerns raised primarily through the GC office.
>
> The policy process is difficult and lengthy – taking years to propose, review, initiate and in the intervening time the situation, law, or system policy sometimes changed.

The next question asks, "What are the next steps or factors to consider to arrive at a decision to accept or reject the creation of the position?" The most common response was budgeting/funding, simply stated. More specific comments in this regard were:

> Review position description and secure funding.
>
> Convincing upper leadership of the fiscal need for it.
>
> Financial concerns of opening a new position or adding responsibilities to existing in conjunction with committee input.

> We would need to arrive at a budgetary justification (i.e., can we save money by having such a position?; are there sufficient permanent funds to support such a position?) and need to discuss what the position description and accountabilities would be (including avoiding inefficient or wasteful overlap with existing positions). These discussions would occur at a senior level of administration (VP Finance, Human Resources, and me (I am General Counsel). There are other facts too, but these come to mind first.

The following comments may be related to budget concerns as well:

> The president and the board are evaluating the role.
>
> Getting the administration on the same page.

Other issues related to a decision:

> This would be a principal duty for someone in the Provost's office, but there are other units on campus involved with these issues. A small working group is currently looking at the issue.
>
> To market to stakeholders in other divisions and secure buy-in.

The last question for branch 2 gave respondents the opportunity to "provide additional information you think may enhance this study – could be in the form of a story, lessons learned, etc. (optional). From the comments below, it is clear these institutions value the role policy plays in the institution and why they are seeking to create the policy administer position.

> I have learned that it may be possible to combine the policy administrator position with that of legislative liaison. Many policies are created as a result of laws that are enacted at the federal and state levels. It would be best for our policy administrator to serve as the liaison to our legislative delegations in order to further understand the spirit and letter of those laws to help us to write good policies or to convey how legislation may be harmful to the university's ability to gain or retain accreditation or licensure.
>
> The need and value of a position of Policy Administrator (or similar title) has a lot of overlap with the legal and compliance functions of a college or university. As a University General Counsel, I advise, train and educate University community members that University policies and procedures are the "internal law" of the University, which we all must follow. As a result, having a professional approach to the creation and maintenance of University policies is essential.
>
> I have learned over my professional career that clear communication, well developed role definitions, and shared expectations are essential elements to a sound organizational structure. Strong policies and procedures support these elements.
>
> No new info – just a cinch that every institution needs such a position.

Responses from Institutions Without a Policy Administrator Position

Survey respondents who answered "c" indicating their institution does not have the position were taken to the third branch of questions in Part B. Of the 276 respondents, 256 (92.7%) continued to Part B. The survey ended for 133 (52%) respondents who indicated they had never heard of the position. Of these 133 respondents, more than half (66.2%) were from smaller institutions (< 5,000) (see Table 29).

Table 29. Awareness of the Position at Other Institutions of Higher Education

Responses	Institution Size					Total	%
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above		
Yes, considered position, but not the right time to implement	2	3	4	0	1	10	3.9
Yes, considered position, but other priorities came first.	1	20	4	4	3	32	12.5
Yes, considered position, but need was not strong.	4	13	5	9	0	31	12.1
Yes, Other (Please specify)	7	20	9	9	5	50	19.5
No, I am not aware that such a position exists	21	67	28	10	7	133	52.0
Total	35	123	50	32	16	256	100.0

Aware of Position

The following analysis was based on the 50 respondents who selected "Yes, Other" indicating they have heard of the position, but have not chosen to adopt the position for reasons other than the first three choices provided as noted in Table 29. They were asked to specify. Four

respondents chose not to specify and seven responded with a statement indicating they were aware of the position, but their institution had not considered it without stating why it was not considered.

Analysis of the remaining 39 responses revealed the following themes. Some responses address a couple of themes. The responses listed for each theme are a representative sample of the ones received. In some cases, institution size was included as it seemed to add an extra dimension or lens by which to view the comments.

Theme 1: Policy Duties Covered by Other Positions. This was the most common (12 responses) reason provided for not adopting a policy position. Generally, the responsibilities were assigned to VPs and/or general counsel as evidenced by these comments:

> My background is Finance and Administration. The institutions I have been at these responsibilities have either fallen to me or general counsel.
>
> That position is integrated into other positions—namely, government relations director and General Counsel.
>
> Different functions of a policy administrator are carried out by various administrators on campus.
>
> Policy administration is undertaken by a number of roles at our institution, often at the associate or vice provost level or assistant or associate VP level. No one single position oversees all policies.
>
> Because these responsibilities are divided among the vice presidents. It does not make sense under current financial constraints.

Theme 2: Policy Committee. Two respondents reported having a policy committee that oversaw policies. This appeared to be similar to the first theme. The responder from the institution with a Policy Management Board shared the link to the Board's website, which was found to be well organized and comprehensive. It addressed many of the perceived needs (e.g., central repository, consistency, regular policy review, collaboration among administrative units) identified by respondents from campuses with a policy administrator position.

> Our institution put a committee together to oversee all policy changes, new policies, and review conflict policies. We didn't consider a position but thought a committee would be better to review. Our legal counsel occasionally sits in on the meetings.
>
> We do not have a single officer for this function, but we have established a Policy Management Board to handle many of these responsibilities.

Theme 3: Financial Limitation. This theme had five responses. Most of the responses overlapped with other themes, but it seemed logical this theme was likely foundational to many of the other reasons expressed.

> We do not perceive the need to have such a position, especially in light of limitations on our resources. Individual functional areas of the institution develop and manage their own policies.
>
> Yes, considered position but budgeted resources insufficient to support a net new position. We have a central "coordinator" who coordinates updates to university policies, which per policy must be reviewed and updated every 5 years.
>
> Did not bring the question forward given the tight financial situation at the moment.

Theme 4: Institution Size. All five responses for this theme came from institutions with enrollments between 1,000 and 4,999.

> We are very small and use committees to do policy oversight, with senior staff (the VPs) serving as the top level of policy administration.
>
> Small community college so policy work is the responsibility of departmental leadership.
>
> We are a very small university (about 1000 students), so while I am personally aware of such positions, we have not considered creating one. Instead, each executive level cabinet member is responsible for policy oversight and review of those within their areas. . . .

Theme 5: Other Priorities. All three responses are listed here. These responses are similar to the listed response, “Yes, considered the position, but other priorities came first.” The difference being, the following described decisions made without any formal consideration of the position by the institution.

> Policy coordination has not been a major priority at the school.
>
> We have not considered this position as we have other priorities.

> I am aware that the position exists, but did not consider it both because there are higher priorities and because I don't think there would have been receptivity to such a position.

Theme 6: Part of a Multi-Campus System. Two respondents indicated their institution was part of a multi-campus system and one noted the position at the system level functions across campuses. One response was from a relatively small campus (size: 1,000 to 4,999) and one from a large campus (size: 20,000 and above). Here are their comments:

> I am aware of such position but since we are under the auspices of [university name omitted] main campus, the policies are overseen by them. We do have input on committees, but do not oversee all policies.
>
> My campus is one of 2 "core campuses" (i.e., research-intensive) of a broader university system – we do not have this role at the campus, but there is such a position in University Administration (which functions across all campuses).

Theme 7: Used to have Position. This response was unexpected, but added an important perspective to this study. Because of this, all 4 responses have been included. The first response came from an institution in the size category of 1,000 to 4,999. The remaining 3 responses came from institutions in the size category of 10,000 to 19,999. The last response may give a clue as to why the others no longer see a need for the position.

> This position had previously existed at my institution, although the responsibilities were combined with others.
>
> Has existed in the past, responsibilities folded into other position (office of general counsel) now.
>
> Years ago (1990s), we had a policy administrator position. The position was eliminated, probably/perhaps because of budget reasons. Many of the duties were incorporated elsewhere.
>
> We had a policy coordinator for a time… But that was really only needed while we did a massive policy overhaul, when we needed extra focused attention in order to coordinate the moving parts and get things online, etc. Eventually that heavy-lifting was completed and things became much more in a maintenance mode (with a new policy only every so often)…. (We continue to have a university-wide committee on policies that meets quarterly, with 2 attorneys co-chairing that effort.)

The last three responses did not seem to fit into one of the identified themes. These come from larger institutions. The first two from size category 10,000 to 19,999 and the last one from size category 20,000 and above.

> Yes, but cannot assess whether it would facilitate administration or unnecessarily add another layer.
>
> Do not have enough policies to warrant a FT staff position. Would be good to immerse this work with a role at the college.
>
> We have someone that keeps our policy library and fulfills many of the roles of a policy administrator (our chief counsel) but I wouldn't consider the policy specific responsibilities to be a primary duty or worthy of a full FTE.

Respondents who were aware of the position were asked to identify the source of their knowledge (see Table 30). Two predefined responses were provided (i.e., counterpart at another institution; through networking). An "Other" option was provided. They were instructed to check "all that apply," yet, all respondents chose only one response.

Table 30. Source of Position Awareness

Source of Awareness	Institution Size					Total	%
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above		
My counterpart (individual in same position) at another institution	3	13	5	2	4	27	22.0
Through interpersonal networks (Please elaborate)	5	15	9	11	3	43	35.0
Other (Please specify)	6	26	6	9	2	49	40.0
Missing	0	2	2	0	0	4	3.0
Total	14	56	22	22	9	123	100.0

Respondents whose source of information was through interpersonal networks were asked to elaborate. Table 31 summarizes their responses. Some responses were provided by more than one respondent, but appear only once in the table. Some noted they learned of the position through reading, but could not remember specifically which journal(s). Conferences specifically mentioned are included.

Table 31. Source of Knowledge Regarding the Position

Type of Source	Specially Named Sources
Networking	
Conferences	Presentation at NACUA (National Association of College and University Attorneys).
	NACUBO (National Association of College and University Business Officers).
	SACSCOC (Southern Association of Colleges and Schools Commission on Colleges) annual meeting.
	SACSCOC Summer Institute on Quality Enhancement.
	AACSU (American Association of State Colleges and Universities) meetings.
	MSCHE (Middle States Commission on Higher Education) conference presentation.
	APLU (Association of Public Land Grant Universities).
	CUPA-HR (College and University Professional Association for Human Resources).
	"Discussions at state [NY] regional meetings."
Member organizations	Ohio public universities communicate regularly and frequently through our collective membership to the Inter-University Council of Ohio.
Accreditation visits	Part of an accreditation team site visit.
	"I am a peer evaluator and team chair for accreditation with the Middle States Commission on Higher Education. So I have met people in this position at other institutions."
Listservs	Chief Academic Officer groups.

Type of Source	Specially Named Sources
	"Mainly though listservs for CAOs. An example is the CIC [Council of Independent Colleges] listserv."
	"Multiple listservs (Public CCs, private 4-years)."
Other	
Reading	"Awareness through reading articles within the field and research. Also discussed with a peer at another institution within our system."
	"Relevant journals for IHEs."
	"Inside Higher Education."
	"Continual reading and research into higher education best practices."
	"Aware from reading higher education publications."
	"Know of the position from reading higher education risk management articles."
	"Read about the topic in a journal. Do not remember which one."
	"I read a lot of higher ed journals and articles and review the org charts of other universities."
Miscellaneous experiences	"Through research of policy manual structures while doing a restructure of our own."
	"Observation of other larger institutions"
	"I have had the opportunity to research policies at other campuses and have seen that some campuses have dedicated positions/offices for policy management purposes."
	"Higher education media."
	"My previous institution moved to centralized policies (creation, revision, repository, standardization) within the Institutional Effectiveness Office. I was a part of this transition in my AVP for Finance role."

Type of Source	Specially Named Sources
	"Discussion at Cabinet, we already have Cabinet officers who are responsible for these duties, but would like to have a central person to coordinate instead of piecemealing the approach as we do now."
	"Review of regional accreditation standards."
	"I worked at another institution that had this position."
	"Awareness of how our branch operates in conjunction with the main campus. I sit on several sub-committees as well."
	"We benchmark regularly and also keep in touch with others at other institutions."
	"Internet research into policies at other institutions."

The responding institutions that were aware of the position were then asked what the current status was "still considering" or "not needed." The majority (75.6%) have determined the position was not needed (Table 32).

Table 32. Current Status of Decision Regarding Establishing the Position

Current status	Institution Size					Total	%
	Under 1,000	1,000 to 4,999	5,000 to 9,999	10,000 to 19,999	20,000 and above		
Still considering	3	12	4	5	1	25	20.3
Not needed	11	41	16	17	8	93	75.6
No response	0	3	2	0	0	5	4.1
Total	14	56	22	22	9	123	100.0

The institutions that determined the position was not needed were asked why and instructed to check all that apply. Most of the respondents checked more than one reason. The

responses are listed in Table 33 in descending order based on the number of times the reason was selected. The most common reason given was the current approach to policy management was working (43 responses), followed closely by a tight budget (38 responses).

Table 33. Reason for Not Establishing the Position

Reason Not Needed	Number of Responses by Institution Size					Total
	Under 1,000 (*n* = 11)	1,000 to 4,999 (*n* = 41)	5,000 to 9,999 (*n* = 16)	10,000 to 19,000 (*n* = 17)	20,000 and above (n = 8)	(*n* = 93)
Policy management already working	5	19	8	8	3	43
Finances – not in budget	4	17	6	6	5	38
Simple organizational structure	5	15	1	5	1	27
Other	1	5	3	1	1	11

Of 11 respondents who indicated "other," three stated their institutions were part of a system and policy administration was at the system level versus individual campuses. Four respondents seemed to indicate by their comments they believed their policy management system is working well.

> We do not have a single person, but all administrators work on relevant policy. But we do have a sort of de facto policy expert, an administrator more "policy minded" who typically is asked about policies, policy changes, etc.
>
> Current system of cabinet level oversight and shared governance committee is working well enough.
>
> Our EC does a good job.
>
> We do this with our current position, as it is the responsibility of every division to ensure compliance and appropriate updates.

The remaining four respondents provided various reasons their campus has not considered the position.

> Not a top priority.
>
> Structure-administrative and academic policy libraries are separate.
>
> No agreement on whether it is needed and not in budget.
>
> Just need to incorporate better in a current role.

Optional Information

The last question was presented to the 123 institutions who indicated they were aware of the position. It invited respondents to "provide additional information you think may enhance this study—a story of your experience, a list of lessons learned, or if we had only known, etc. (optional)." The 58 responses fell into two main themes, one small theme, and several miscellaneous comments.

Theme 1: How Respondents' Institutions Manage Policies. The largest number of respondents (24) shared how their institutions currently manage policies. Following is a sampling of these responses:

> At a small institution with limited resources, a number of the responsibilities of a policy administrator are handled by our Vice President for Institutional Effectiveness. That individual currently manages the review of institutional policy in preparation for accreditation reports and works with various offices to coordinate the consistent application of policies and procedures. [Size: Under 1,000. Response to question regarding awareness of position: yes, but other priorities came first.]
>
> While each department administrator creates, maintains and revises her/his own policies, we regularly run them by each other for input, and all must be approved by our Administrative Committee (essentially the president's cabinet)—so we collaborate heavily and learn together. [Size: Under 1,000. Response to question regarding awareness of position: yes, other.]
>
> In my current institution, the VPs or directors write/revise and eliminate policies. The level of expertise and the accountability is not consistent across the board. This has led to some very weak, poorly written, copy-and-paste policies in some areas of the college. I am not necessarily in favor of a new position at my small college. There would need to be about 35 hours more work added to that position. [Size:1,000 to 4,999. Response to question regarding awareness of position: yes, other.]

> We created a policy committee in each college and an overall university committee. We also created a review structure for policies that assigns policies to administrative leads and indicates dates for regular review. New policies go through college committees and then to the general policy committee. We are a small institution and the process is working well. It is fluid and timely. [Size:1,000 to 4,999. Response to question regarding awareness of position: yes, but need was not strong.]
>
> We disseminate policy review across administrators based on their functional responsibility. While this works to some degree, we are relying on each administrator to do their due diligence in reviewing and sharing across the college. As you can imagine, some are more engaged with this than others. [Size:1,000 to 4,999. Response to question regarding awareness of position: yes, but need was not strong.]
>
> We have a committee that reviews policies for the need to update, and a shared governance model for implementation. [Size: 5,000 to 9,999. Response to question regarding awareness of position: yes, but need was not strong.]

Theme 2: Third-Party Involvement. The following comments were related to Theme 1, but revealed policy involvement beyond the campus—university system- or state-level policy management.

> As a part of a system, many policies are managed at the system level, reducing the need for such a position on campus. [Size: 1,000 to 4,999. Response to question regarding awareness of position: yes, but need was not strong.]
>
> We are part of a system – SUNY – and we are provided multiple levels of policy support in all areas. We have an individual – Chief of Staff – who is responsible for Trustee and Executive level policies. [Size: 5,000 to 9,999. Response to question regarding awareness of position: yes, but other priorities came first.]
>
> At an institution I worked at previously, the President and the President's Cabinet (i.e., three VP's) held a meeting once a month to do nothing but review and update policies. In this way, we kept policies current. Our policies were also kept current via the Texas Association of School Boards (TASB), a voluntary, nonprofit, statewide educational association that serves and represents local Texas schools and issues updates on policies to reflect legal requirements. . . . Institutions which were part of TASB had, in a sense, a policy administrator through TASB. [Size: 1,000 to 4,999. Response to question regarding awareness of position: yes, but need was not strong.]

Theme 3: Support for a Policy Administrator Position. Some respondents (16) expressed support for the idea of a dedicated position.

> Policy coordination is something that you do not know that is missing until you see it in operation in other places. This turns the light on regarding the haphazard nature of operations at one's own place and gives a useful explanation for the inefficiencies that are

experienced. In most instances these tend to be seen as deficiencies in employees or certain processes. I have come to recognize how policy coordination can eliminate a number of problems and at the same time enhance the effectiveness of the organization. However, since this requires major reorganization I am not in a position to advocate for it nor to implement it. I am trying to set the ground for it to be on the agenda as a future possibility. [Size: Under 1,000. Response to question regarding awareness of position: yes, other.]

Policy administration is a full-time job in and of itself, even in a small institution. State and federal regulations are numerous and complicated. Constant review and revision is necessary, not just for mandated policies related to grant funding, Title IX, discrimination, etc. but to ascertain if policies are useful, relevant and up to date. As a small institution, we still have over 70 different policies to maintain. Because we don't have a dedicated policy administrator, we're generally playing catch-up to ensure our policies are current and only edit those that must have changes. It can result in outdated policies that no one adheres to. In addition, in a small institution, faculty have been given a wide berth. While their input is necessary for buy-in, we often give them more credence than the administrator working on the policy. It's not a good practice to value faculty's feelings more than a policy expert's expertise. [Size: Under 1,000. Response to question regarding awareness of position: yes, other.]

Policy coordination is definite must have. The current institution I am at (2500 student enrollment) was lacking this when I arrived nearly 2 years ago. It continues to be a struggle to sync up the policies among the different groups – human resources, faculty handbook, student services. We have made strides but will be awhile before we have everything cross referenced and synced – we continually find where policies conflict or have different remediations. [Size: 1,000 to 4,999. Response to question regarding awareness of position: yes, other.]

I think there is a very clear need for this position, the rest of the Cabinet is less clear on that need. I think it's interesting to consider the reasons for resistance to creation of such a position. In general, and I'm only in year 2 here, my efforts to codify policy, to make sure it is appropriately consistent across divisions, to consider revisions, etc. have been met by some opposition. Some of that is simply about scarce time and what feels like a non-urgent situation. But I think some is also about recognition that clear, consistent, transparent policies can restrict individual patronage relationships or administrator autonomy. [Size: 1,000 to 4,999. Response to question regarding awareness of position: yes, but other priorities came first.]

Anytime issues come up with policies it creates significant research for all parties involved to find last edition of policy and any changes throughout history. Everyone agrees and supports the centralized policy structure; however, implementing and maintaining would be costly. [Size: 5,000 to 9,999. Response to question regarding awareness of position: yes, but other priorities came first.]

Miscellaneous Comments. Many responses (18) did not emerge as themes. The following sampling provided some points to consider when establishing the position and/or the selection of a person to fulfill the position.

> In my experience, such a position can become a magnet for duplication of effort. HR director is policy expert in HR matters. Financial aid director is policy expert in financial aid matters, etc. [Size: 1,000 to 4,999. Response to question regarding awareness of position: yes, other.]
>
> The ongoing work of a policy administrator is not a full FTE once the policies are in place and routinely updated. A policy advisory committee is critical and units must "own" their policies to ensure they are valid and updated. [Size: 10,000 to 19,999. Response to question regarding awareness of position: yes, but other priorities came first.]
>
> Of interesting juxtaposition is the concept that higher education is criticized by many, including faculty and legislators, for having too many administrators. Yet the increasing burden of regulations require enhance work load at universities, sometimes to the point of adding staff. [Size: 10,000 to 19,999. Response to question regarding awareness of position: yes, other.]
>
> The transition at my previous institution was an incredible improvement in oversight and transparency. I am working to centralize at my current institution through my Finance & Administration team, once the structure is developed I will work with my Cabinet colleague to transition existing policies and enhance policy development. [Size: 1,000 to 4,999. Response to question regarding awareness of position: yes, but other priorities came first.]
>
> Policy work is really only a collateral responsibility. [Size: 20,000 and above. Response to question regarding awareness of position: yes, other.]

CHAPTER 5: DISCUSSION

About a year after I accepted the challenge of policies at my institution, I learned about the Association of College and University Policy Administrators (ACUPA). At the time, ACUPA was just a list serve. In 2014, ACUPA became incorporated as a nonprofit professional organization. When I wrote my proposal, membership in ACUPA represented about 4% of regionally accredited institutions in the United States. Membership has grown to more than 8% of U.S. institutions. Although this does not represent all institutions with the policy administrator position, those who joined ACUPA expressed a desire to be seen as professionals.

As noted in Chapter 1, Abbott (1988) took a *systems approach* in analyzing how professions evolve. One group of professionals he identified as *information professionals*, those occupations that help individuals and organizations manage information. It seemed reasonable to consider the policy administrator position in this same classification. Furthermore, it appeared to be an emerging profession based on the S curve according to Everett Rogers' (2003) Diffusion of Innovation (DOI) theory. See Figure 2 in Chapter 4.

Rogers' (2003) DOI theory was used as the basis for collecting and analyzing data in determining the prevalence of a policy administrator position, the process institutions chose to create the position, and the salient factors contributing to this decision. This supports Abbott's (1988) systems approach which looked at what *system forces* or *organizational disturbances* led to the creation of certain professions.

Data collected in Part A of the survey and merged with IPEDS data were used to address the first three research questions including the assessment of the diffusion of the policy administrator position among regionally accredited higher education institutions, the rate of

adoption, and the relationship of the presence or absence of the position based on institutional characteristics (i.e., Carnegie classification, sector, size, and geographical location).

This study was intended to be exploratory in nature—no assumptions regarding what institutions were most likely to be able to contribute to the topic. For this reason, the survey was sent to all regionally accredited institutions with IPEDS data available for analysis. One responder suggested the survey should be limited for the following reason:

> I would suggest that you narrow down (Using IPEDs) the list of respondents to institutions that are large (state or land-grant institutions) and remove small institutions that may not need such a position or do not have the resources for it.

The data did not support this recommendation. The position was found to exist in colleges and universities in all size categories and institutions in each size category stated lack of resources as a major reason they do not have the position.

An Emerging Profession

The rate of adoption is "the relative speed with which an innovation is adopted by members of a social system. It is generally measured as the number of individuals who adopt a new idea in a specified period, such as a year" (Rogers, 2003, p. 221). Had a greater number of institutions (374 unique institutions out of 2,889) responded to Part A of the survey, the S curve in Figure 4 may have resulted in a different outcome. However, comparing the characteristics of the 374 institutions to the total population, revealed the responding institutions were a good representation of the total population.

The purpose of creating a Part A and Part B to the survey was to entice a large number of institutions to at least respond to the shorter Part A (1 to 3 questions) necessary to establish prevalence. However, this was not the result. Most (95%) of the responders continued on to Part B after completing Part A. That alone was quite remarkable. It appeared creating two parts did

not improve the response rate. However, it may have yielded a higher response rate. Could it be many of those who completed Part A intended to stop with Part A, but felt compelled to go on to Part B? One respondent wrote:

> This is one of the first studies in a long time that has a human element. For example, after I answered the first question, the language you put in place to coax me to finish part B had a very human approach that resonated. (i.e., as you know, one question is difficult to build a dissertation) that made me smile, relate, and complete part B! Good luck!

One can only wonder how many other respondents intended to answer only Part A, but were encouraged to continue on to Part B. The success of creating a two-part survey remains a mystery.

Based on the responses received, it appeared the position is still emerging because the top of the S curve has not flattened, indicating the innovation is still diffusing. Responses to question one in Part A directed respondents to one of three tracks in Part B of the survey. Some of the respondents who answered "c) no" indicating the institution does not have this position, later expressed an advantage to having the position and desire to learn more from this study. This is another indicator the position is still diffusing.

Defining the Position

Placement Within the Organization

Survey responses revealed the policy administrator position reports to various administrative units on campus (e.g., General Counsel, Compliance and Risk Management, Academic Affairs, Business and Finance, and Executive Administration). Respondents were not asked why their particular reporting structure was chosen. A couple of institutions noted the policy administrator sits on the president's cabinet. I saw this as beneficial. It familiarized the policy administrator with the big picture and may be beneficial for knowing the stakeholders across campus for various policies. It demonstrated to the faculty the president's commitment to

policies and raised the awareness of this position among administrative units. Two responders wrote:

> It was absolutely critical that the president of the university support this new process for the institution. Without leadership from the top, the process would most likely not be as successful.
>
> Leadership initiative and support (critical) — not simply the President leadership but broad support in the executive council which filters down to all units on campus . . .

Key Responsibilities

A majority of respondents (75% to 83%) identified the following responsibilities as expectations of their institution's policy administrator:

- Collaborates with policy "owners" (functional leaders) in review of policies and processes
- Strategic coordination of institutional policies across all areas (e.g., general administration, finance, human resources, facilities, campus services, research and technology, and academic administration)
- Oversees and coordinates the policy library
- Collaborates with policy "owners"; providing functional leadership in the development of policies

In addition to the above responsibilities, one third (33.3%) listed;

> Promotes policies and procedural functions at the college/school level within the institution; providing training and professional development within the college/school.

A little more than one-fourth (26.9%), stated their policy administrator oversees a policy office.

Among the 75% to 83% who listed the first four bulleted responsibilities was a provost from a large public university with a policy office. These responses indicated to me the institution's policy administrator coordinated institutional policies across all areas, yet noted the policy administrator oversaw subunit policies (academic). Because of these responses, the following statements later on in the survey seemed contradictory as some of these responsibilities spoke to collaborating with policy owners.

> I do not feel this questionnaire is getting at how universities work. Policies are the responsibility of functional leads – the Provost, the CFO, the VPR, etc. and some are only advanced with the president's approval depending on scope and nature of the policy.
>
> As per my last comment, I don't think this notion of a single person responsible for policy is viable in any university.

Other responders seemed to understand the reference to policy "owners" in the list of responsibilities to convey the concept these individuals (e.g., the provost, CFO, VPR) have the responsibility/authority for their policies' content. Unfortunately, this respondent stopped taking the survey at this point, so did not see the question asking for permission to contact them for further clarification. This was the only responder who expressed a negative view of the concept of a policy administrator.

Scope of responsibilities

The fourth research question addressed the consistency in which the term *policy administrator* was applied among institutions by looking at the scope of responsibilities. The question, "Is the policy administrator responsible for a) all institutional policies, b) subunit only, or c) other," This question may have seemed a little ambiguous to some respondents. The majority (63.5%) responded "all institutional policies and a few (9.5%) chose "subunit only." Respondents who chose "other" (27%) provided needed clarity to this question by identifying two areas of responsibility: 1) content experts and 2) logistical responsibilities. This further clarification may have addressed the concern of the respondent who wrote, "I don't think this notion of a single person responsible for policy is viable in any university." Was the concern one that no one person has the content expertise to write all institutional policies? Again, had permission been granted to contact the respondent for further clarification, this would have been pursued.

Time Devoted to Policy Activities

For many institutions, this is not a dedicated role. More than two thirds (68%) of institutions reported it as a part-time position and one sixth (16%) reporting a full-time position. The remaining one sixth (16%) have a policy office employing more than 1 FTE participating in the policy administration function. Individuals in multi-part positions spent from 5% to 60% of their workload dedicated to policy administration.

The survey did not explore the possibility of the policy office employing multiple individuals who have multi-part positions in which they devote part of their workload to policies and the remainder of their time to other duties. For part-time policy administrators, the follow-up question clearly asked for FTEs devoted to policy administration. However, when asking about policy office FTEs, this was not clear as evidenced by the following comment received in response to the questions asking for feedback.

> You do not give the option in one question of answering that multiple employees work in the policy administration office with each focusing on that work a portion of their time, resulting in a fraction of an FTE.

The above statement is true because this scenario was unknown when the survey was created. In response to a question not related to the policy office directly, one respondent who listed three FTEs in the policy office, wrote:

> Policy office is one administrator, one administrative assistant and one GA [assumed to mean general assistant, based on a later response]. The full-time staff have other duties that tend to be the majority of time, approximately 60 or higher percent of time. We also have one GA we manage university wide policy and some pockets of others.

In one case, where the institution's policy office seemed to have an unusually high number of FTEs, the responder was contacted for clarification with a similar response. The number listed in response to FTEs was actually a headcount. A few other institutions with a policy office listing, what seemed to be, a high number of FTEs may have been headcount as well. The focus of this

survey was on the policy administrator position which only addressed the existence of a policy office. Further study into the structure and function of a policy office should be explored to learn more about how this structure compares with one policy administrator who works with the policy owners in the various administrative units of the institution and how the institution may benefit from this type of arrangement.

Institutions with part-time policy administrators were asked what other functions the person performed. The word cloud (Figure 3) of these activities revealed a wide variety of other responsibilities for those in a multi-part position. The functions that stood out as most common included institutional research, human resources, strategic planning, Title IX, and accreditation. In reality, a small percentage of institutions listed these activities, but they were prominent because a large number of the activities were unique, so did not stand out in the word cloud.

Educational Background and Prior Experience

Educational backgrounds for individuals in this position ranged from a baccalaureate degree required through doctoral degrees (e.g., JD, PhD) with a little more than half (56.8%) requiring somewhere between *baccalaureate degree required, master's preferred* and *master's degree required, higher degree preferred*. One respondent did not know the educational level required. Others knew the degree of the current person in the position, but did not know if it was required. One stated the first and only person to fill the position was hired from within based on known capabilities from working with the individual. When it comes time to replace this individual, the responder noted the institution will need to determine minimum qualifications. This may very well be the case with other institutions. Common experiences/expectations included higher education leadership, knowledge of higher education and governance,

understanding of higher education policy and records management, as well as communication skills.

Characteristics of Institutions With a Policy Administrator

The last of the quantitative part of this study was learning what institution characteristics may have contributed to a decision to create the position. Of the four characteristics (i.e., Carnegie classification, sector, geographical region, and institution size) considered, the binary logistic regression revealed institution size was the only characteristic statistically significant. Although institution size was significant, the Cox and Snell R Square value (.147) was low suggesting other factors may have influenced the decision for a policy administrator, or more importantly, not implementing the position. Based on comments provided in response to qualitative questions, lack of finances was mentioned a number of times and may likely be the other contributing factor.

Diffusion of Innovation Process

Rogers' (2003) Diffusion of Innovation (DOI) Process included the following stages: knowledge (origin of the idea to consider such a position), persuasion, decision, and implementation.

Knowledge

Knowledge of an innovation can create need. This is especially true with consumer products, but awareness of an innovation can also raise awareness of a need that has not intensified to the level of action needing to be taken. Often, needs arise that drive the organization to seek a solution. For survey respondents who knew the history of the policy position on their campus, a perceived need clearly (98%) came before knowledge. The identified needs will be discussed later.

Respondents from institutions that do not have the position, were asked if they were aware of the position. The 123 institutions who indicated awareness were asked to identify the source of their knowledge. In addition to hearing of the position at professional conferences, accreditation visits, list serves, and prior institution of employment; a number stated from reading journals. One respondent listed *Inside Higher Education*, but this is not a peer-reviewed journal. No one else could remember a specific journal. This was disappointing because I did not find any references to such a position in my search of peer-reviewed journals. It would have been very helpful to know how (e.g., key words) my search missed these.

Persuasion

Persuasion did not seem to be an issue for most institutions who implemented the position. The needs were all the persuasion necessary to move the position forward. Nearly two-thirds (64%) of the respondents who knew how long it took to make the decision said it was quick. A couple indicated the president just starting doing it. One stated, “It just happened.”

Decision

Less than half of the respondents (40.6%) were part of the decision process. Yet they seemed to know the salient components directly related to making the decision to be identified needs. These components included regular review and updating of existing policies, appropriate policies in place for compliance purposes, alignment of policies—both externally and internally, and vetting policies by appropriate committees. For about three-quarters (74.6%), the response to the decision was positive because the needs were so apparent, a few (17.5%) were neutral, and even fewer (7.9%) were negative. The negative reactions were based on a perception of more bureaucracy, resistance to change, and concerns over funding the position.

Similar to the 7.9% of institutions with a policy administrator who reported negative reactions to the position, were the reasons given by institutions without a policy administrator. Both groups of institutions stated finances as the main reason they chose not to create the position.

Best Practices in Policy Administration

The perceived needs that emerged from the survey can be viewed as best practices for institutions wanting to better manage their policies. One respondent wrote, "Your questions are instructive and could be used to improve an existing policy program." The following best practices emerged:

Central Repository—Preferably a web-based solution that is accessible by everyone. Often referred to as a policy *library*. Similar to a library, the holdings/content should be searchable. Policies exist exclusively in the library. Other web pages (e.g., department pages) can link to specific policies in the library versus providing a copy on their own page. In this way, the latest version of the policy is the only version accessible.

Consistency—Policy documents utilize a specified format to include information such as, the policy title, policy owner (often a VP position), administrative unit (e.g., finance, academic administration, HR, safety), approval date, and policy number (if institutions number policies). A policy, often referred to as "a policy on policies" should be created specifying the elements required for all policies as well as the policy approval procedures.

Regular Review—One respondent stated, "Establish a framework for the development, review and approval of institutional policies." Time intervals should be established and included in the "policy on policies," This review should not only look at existing policies, but consider what policies may be missing and create them.

Policy Currency—Closely related to regular review which has more to do with process. Policy currency is making sure policies are up-to-date. Are names (e.g., department names) and position titles using the most current nomenclature? Does the reason for the policy still exist? Is the policy referencing out-of-date technology, etc.?

Collaboration Among Administrative Units—An effort to minimize silos. Respondents commented on a lack of coordination resulting in contradictory policies from one unit to another. One respondent described the need for "policy alignment within complex and diverse academic structures."

Compliance—Ensure policies are compliant with outside regulatory agencies (e.g., federal and state) and align with policies handed down by system offices.

Accreditation—Following the above stated best practices should ensure appropriate policies are in place to meet accreditation standards.

Policy Oversight—facilitates the implementation of other best practices.

Essential Position

Is it essential for an academic institution to have a policy administrator? Institutions who have created a policy administrator position expressed it was accomplishing a vital role for the institution. One attorney wrote:

> I also recognized that it is much easier to defend the university when people are following good, clearly worded, mission-driven policies. And I realized that we could not do this without someone being in charge of and owning the process.

After implementing the position, one responder wrote, "There's now a cultural understanding of policies and a growing interest in doing things right." This response touched on what may be a key element in determining the need for a designated policy administrator—the

culture of the institution in regard to policies. A respondent from one of the institutions without, alluded to a cultural issue in their perception of the opposition to the position:

> Some of that is simply about scarce time and what feels like a non-urgent situation. But I think some is also about recognition that clear, consistent, transparent policies can restrict individual patronage relationships or administrator autonomy.

It seemed this respondent saw a need for someone to "own the process" to ensure policies are current, relevant, and well written.

A respondent from an institution that does not have a policy administrator shared their institution's policy website. This website was impressive; well organized and contained all the desired elements expressed in responses to this survey. This demonstrated it was possible to have well-organized policies without a named position.

Of the 256 institutions who answered "no" to the first question regarding the existence of a policy administrator at their institution, half (52%) had never heard of the position. Responses from the other half were helpful in painting a more complete picture of policy administration. Of the 123 institutions who have heard of the position, 15 institutions were supportive of the position as noted in the following excerpts:

> Policy administration is a full-time job in and of itself, even in a small institution.
>
> I think this type of position is a valuable position. Critical at a four-year institution. Important at a two-year one as well, though as a branch, much of the policy oversight is at the level of the parent institution.
>
> Policy administrator position would be useful, but is harder to justify on a small campus.
>
> Some of us on the Executive Leadership Team who have worked with policy administrators at other places believe there is a need for one here (policies are not updated, gaps in policies exist, policy and procedure are not clearly differentiated, policy approval process is not transparent, etc.).

Limited financial resources were stated as the main reason for choosing to not create a policy administrator position. Closely tied to the financial concerns seems to be the concept that

the position must be full time. For example, one respondent wrote, “Assigned duties to existing position. Not worthy of a single position solely for this purpose.”

Of the respondents who indicated their institution has a designated policy administrator, 68% stated the position was part time. Of these part-time positions, 45% indicated 20% or less time was devoted to policy administration. The assumption by some that the position was full time was clearly not interpreted this way by all respondents. However, the assumption of full time may have been the reason these institutions chose not to create the position and, as a result, answered the survey’s initial question as, no, they do not have the position. The reverse of this was true as well, some who answered they do have an administrator went on to explain their policy management process was similar to processes described by institutions stating they do not have an administrator.

> We have a central location responsible for making sure that policies are updated regularly and having them posted on the website (the Vice President for Operations). We collaborate with the various "owners" of the policies to update and then ultimately take any changes to the Senior Officers Group for final approval.
>
> We have someone that keeps our policy library and fulfills many of the roles of a policy administrator (our chief counsel) but I wouldn't consider the policy specific responsibilities to be a primary duty or worthy of a full FTE.

Even with these variations in responses, in terms of having or not having the position, the survey revealed various ways institutions conduct policy administration. An institution declaring it has a policy administrator position was not as important as being aware of what processes work for other institutions and deciding what process works best within the culture of one’s own institution.

Survey Instrument

Respondents were given an opportunity to provide feedback on the survey itself. A few positive statements were received from each of the three branches of Part B. Those with the position wrote,

> Great survey; good luck!
>
> Your questions are instructive and could be used to improve an existing policy program.
>
> Easy to complete.

Institutions currently considering the position wrote:

> Great survey. Very timely for me. This is an area of great frustration.
>
> Excellent survey and a very timely topic from my perspective. Good luck with your research and dissertation. I would be glad to provide additional information on my perspectives if it would be helpful.

Institutions without the position wrote:

> Interesting and I wish you well on your research.
>
> Very good topic.
>
> Good topic which will be important going forward
>
> I appreciate the survey. The questions seem good. It might have helped me somewhat to have a little more background or information regarding the need or intent of the survey before starting it. However, once a person is in the survey instrument, the intent seems more obvious. Good luck!

Some comments were neutral in terms of the survey instrument, but their words of encouragement add value to the study as a whole. Two institutions with the position wrote, "Thank you for doing this! Looking forward to the results and analysis. Best of luck!" and "Appreciated." An institution without the position wrote, "I am definitely interested in hearing what you learn from this research. Thanks for including me."

Two comments were a mixture of positive and somewhat negative. One commented, "Long but interesting!" Another wrote, "A bit redundant, but generally well done." I believe this

last comment was in reference to question 26 (see Appendix A) regarding the confirmation step following implementation of an innovation. This question simply asked, "What confirmed having the position within the institution?" A number of respondents listed the same needs identified earlier. This indicated they likely considered this question redundant. Other respondents "got it" by listing practical outcomes observed as a result of implementing the position.

One individual noted, "You do not give the option in one question of answering that multiple employees work in the policy administration office with each focusing on that work a portion of their time, resulting in a fraction of an FTE." This is true because this scenario was not realized when the survey was created. This appeared to be referring to question 4. In this case, the first option (one employee for whom policy administration is only part of the job workload) was selected. Based on later responses, the third option (more than one employee who comprise a policy office) should have been selected. The response selected triggered question 5 which asks what other main functions this individual does. The responder used this free-form box to state there are three individuals involved with policy administration.

The option of a back button for responders to return to previous questions was not provided. Had this feature been activated, the individual noted above may have gone back and realized there was a more appropriate response for their institution. However, it became apparent that multiple employees in a policy office may not collectively be more than one FTE in regard to time spent on policy-related activities.

Two related recommendations were, "Needed ability to skip questions" and "Needed to include options of N/A or unknown." I made a conscious decision not to permit questions to be skipped. I wanted respondents to address each question and state they did not know. For

questions that did not have a box for an open answer, an "other" option was provided which asked for an explanation. Some respondents typed they did not know because they were not at the institution during the decision-making process or during implementation. Another related comment stated, "Some of the forced choices did not fit my knowledge base as a respondent – a situation I expect will be repeated among many respondents." This did not appear to be a problem as respondents used the "other" field to explain their unique situation as evidenced by the following comments.

> There was no way for me to indicate early on that I was not involved in the decision to create this position so many questions are answered that I do not know. I do work with this position regularly, so I could answer other aspects.
>
> I found it challenging to answer a number of these questions as the policy administrator role was created before I joined the institution. That said, I did my best to answer the questions from my perspective and ongoing work because my role is not as fully developed as it could be and that insight may be beneficial to your study.

In at least one instance, I added a row to the table of required responses indicating the number of responses of "I do not know," so the "other" comments remained truly unique.

One individual commented, "if intended for the policy administrator to be the one filling out, should clarify upfront." I attempted to make it clear to the recipients of my introductory email (Appendix E) why they were chosen to participate. Since the survey was based on the diffusion of innovation, I was looking for answers from individuals who were part of the discussion prior to the existence of the position. I assumed individuals in the policy administrator position were not among the decision makers when the position was created. This study was not about the nuts and bolts of the policy administrator position, but the process by which it came to be.

The following comments were a bit baffling because they both came from institutions responding to Part A as having a policy administrator position. Question 4 addressed the issue of

part time versus full time. Both came from policy administrators who were not part of the intended recipients of the survey. I did notice a difference in the quality of responses to some questions when the response came from the targeted administrator (VP or general counsel) versus someone in the policy administrator position. In general, targeted administrators addressed the bigger picture within the institution versus policy administrators focused on details of their position.

> There was an assumption, it seems, that policy administrator is a standalone position which mine isn't.
>
> Initially it seems like you were seeking info on a full-time policy administrator position or positions. It might have been a good idea to clearly identify the working arrangement of the responder and then branch from there. Some questions initially did not fit my circumstance (doing policy work on a part-time basis) so you will see from some of my written responses, I had to clarify and then those questions came later.

The criticism, "Makes some assumptions and is unclear in some respects that makes the survey fairly useless," was not beneficial because it was not specific enough to identify the perceived assumptions. In reviewing the responses from this individual, I am not sure why they selected "yes" to having a policy administrator on Part A. Early in Part B they indicated the function was only 5% of an individual's job. The remaining responses repeatedly stated it was a task that needed to be done and was given to the HR director and no position was created. This does shed light on why the survey was perceived useless in their view because a large part of the survey was directed to the diffusion of the innovation process.

Two individuals noted the survey was "a bit long" (40 minutes to complete) and "long, but interesting!" (16 minutes to complete). These two timings related to Part B, the first branch. This made me curious as to how long it took for individuals to complete the survey. Qualtrics gathers these data in seconds.

For the most part, it took less than a minute to complete Part A. There were several extremely long times, which was surprising. I can only assume the respondents were distracted between the time they logged in to when they submitted their answers. The mean time was 7,459 seconds (124.3 minutes). However, the median value was 49 seconds and the lowest mode was 30 seconds. SPSS output noted, "Multiple modes exist. The smallest value is shown." More telling was 25.5% of respondents completed Part A in 30 seconds, 60.1% in 60 seconds, or less, and 90.2% in 246 seconds (4 minutes) or less.

Part B, the much lengthier part of the survey, was analyzed by each of the three branches. Branch one (institutions with the position) was the longest branch. Fifty (50) percent of respondents completed it in 850 seconds (14 minutes) or less and 94.1% completed in 2,664 seconds (44.4 minutes) or less. The remaining 4 respondents had much longer times 5,201 to 16,120 seconds (86.7 to 268.7 minutes). Qualtrics recorded the begin time and the end time—elapsed time, not time actively engaged in the survey. It was likely the survey was completed in two or more sittings with the total time devoted to the survey being much shorter than the elapsed time indicated. Branch two (institutions considering the position) was completed in 143 seconds (2.4 minutes) to 604 seconds (10.1 minutes) or less with two outliers at 1,573 seconds (26.0 minutes) and 10,546 seconds (175.8 minutes). Branch three (institutions without the position) asked from 1 to 7 questions. Over half (52.9%) of these respondents completed in 60 seconds or less, 75% completed in 145 seconds (2.4 minutes) or less, 98.2% completed in 992 seconds (16.5 minutes) or less, and four respondents (99.6%) completed in 2,516 seconds (41.9 minutes). One survey was completed in 438,566 seconds (121.8 hours). It was likely these last times do not reflect actual time responding to the survey.

The survey was lengthy, but far less time was spent by participants than would have been the case had personal interviews been conducted according to the original plan. Additionally, 363 surveys were completed resulting in a much higher volume and variety of data collected than could have been accomplished via personal interviews. Numerous responses were very thoughtful and thorough. Had these been interviews, the hours of transcribing and sending transcriptions back to interviewees for verification would have been overwhelming. I think this study clearly benefited by utilizing a survey versus interviews.

Not sure what prompted the following observation. Question 14 addressed the persuasion stage.

> Interestingly, the premise seems to be that having a policy administrator would be a "hard sell." That certainly was not the case at the time of inception at our university. Today, with budget crises pitted against increasing compliance and regulatory demands, the decision might have been more painful.

This last comment is worth some consideration for future surveys.

> The emails did not have a deadline. And there was a reminder email sent just 2 days after the first. In the future, might be better to state a deadline and also to wait a bit longer to send out a reminder (e.g., a week), since I am assuming that all of the survey recipients are incredibly busy people and not able necessarily to tend to something within a span of less than 2 days.

Timing was based partially on what was gleaned from articles regarding best practices on surveys timing. The survey mailing list was divided into 14 groups and survey links sent to one group each week with a reminder email sent five days later. However, I messed up on one group and sent the reminder email two days later. The above respondent was in this group. While this irritated at least one recipient, it did not seem to hinder the survey. The outcome of respondents from this group was equivalent to the number of respondents from the other groups.

Analysis of response time was bimodal with the highest number of surveys completed on the day the link was received and the next highest number received five days later when the

reminder email was sent. Figure 5 was the combination of all 14 mailing groups. In addition to analysis of all responses, each of the 14 groups were analyzed separately with all but one group being bimodal. The histogram for most of the subgroups reflects the response pattern of the entire group in terms of being bimodal with the exception of one that was not bimodal. The reminder email for this single modal group was sent out March 9, 2022. I am not aware of anything significant about this date for campuses, so I have no idea why this reminder resulted in just one survey submission. One histogram resulted in two equal modes and two resulted in the second mode (day 5) yielding a higher number of submissions than the first mode.

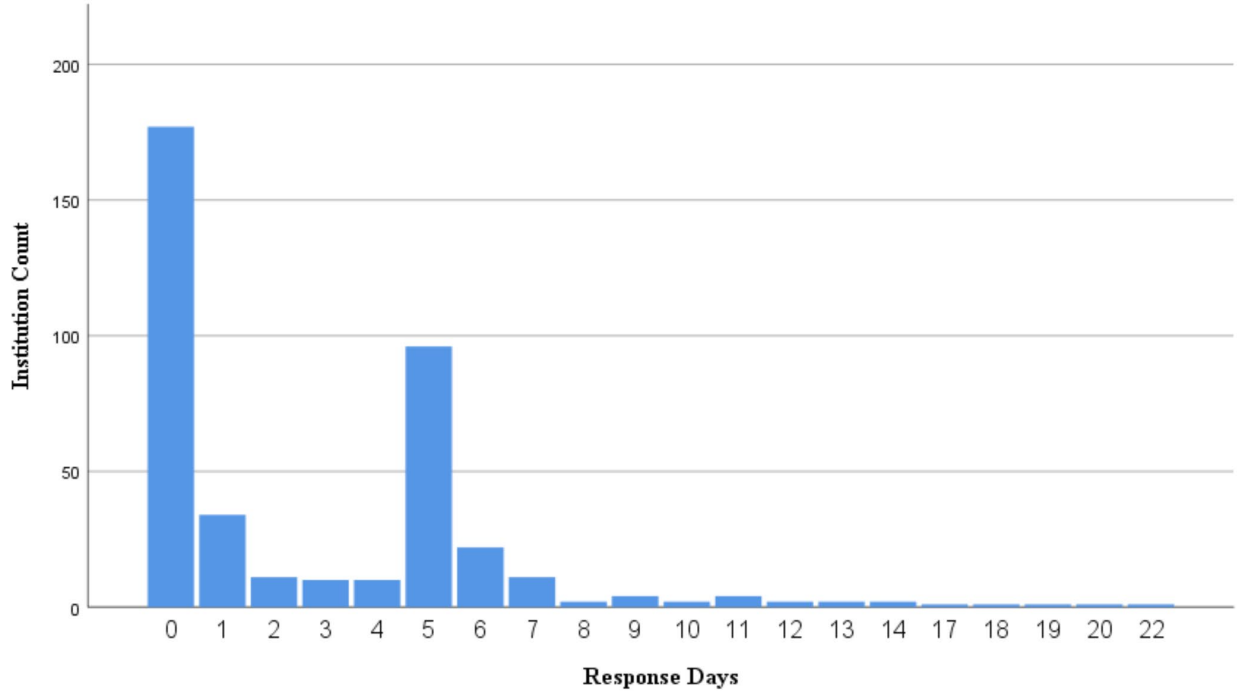

Figure 5. Days Taken to Respond to Receipt of Survey Link

A deadline was purposely not set. This was to accommodate individuals who would return to it later. The contact list was divided into 14 groups and one group was sent out each week, so in actuality, the first individuals to receive the survey had much longer to complete it than the later groups who received it. The survey could not be closed for the earlier groups

without closing it for the groups yet to receive the invite. To state a deadline in the email with the link would have been arbitrary and could have discouraged some potentially late responders to not respond thinking it was closed. I monitored the responses coming in daily and it appeared very few took advantage of the extra time. The longest delay was 22 days, but it could have been longer.

In spite of the few critical comments, I think the survey accomplished its intended purpose and collected valuable information that will be useful to a number of institutions. The results will validate what some institutions are already doing, help some institutions tweak their policy process by implementing one or more best practices, and help other institutions that still need to define and implement an organized protocol for managing institution policies.

Future Research

In addition to exploring the workings of a policy office as noted earlier, it may be beneficial to conduct case studies to showcase institutions that have successfully implemented a policy process utilizing the best practices revealed in this study. Case studies on unsuccessful implementations should be conducted as well to learn what contributed to the implementation failure; thus identifying possible pitfalls to be avoided.

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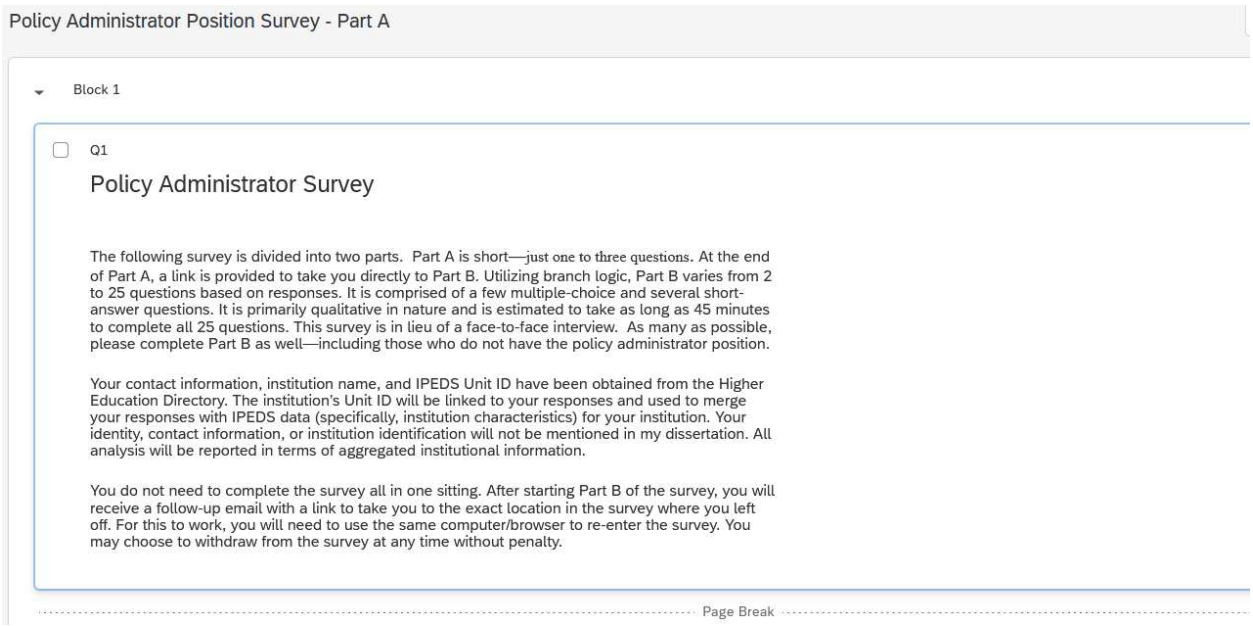
APPENDICES

Appendix A: Survey Instrument

The survey instrument has two parts. At the end of Part A, respondents are invited to continue on to Part B. The purpose of Part A is to ascertain the prevalence of the policy administrator position. It was purposefully kept short to facilitate the goal of reaching as close to 100% participation as possible.

Part B has three branches. The answer selected for question 1 in Part A directs the respondent to the appropriate branch of Part B. The first branch includes questions pertaining to the characteristics of the position and a section pertaining to the Diffusion of Innovation Process. The first branch is lengthy (25 to 34 questions). Branches 2 and 3 are much shorter (3 to 6 questions and 1 to 4 questions, respectively).



Q2

Realizing the functions of a college or university policy administrator will vary somewhat among institutions, the position may include some, all, or additional functions identified below:

- Oversight of a university policy office and the strategic coordination of institutional policies for core areas of the organization. Policy areas include, but are not limited to, general administration, finance, human resources, facilities, campus services, research, technology, and academic administration.
- Collaborates with policy "owners" in providing functional leadership in the development and review of policies and processes. Oversees and coordinates the policy library, ensuring consistency in formatting/design and publication of approved policies.
- Promotes policies and procedural functions at the college/school level within the institution; providing training and professional development.

Q3

Has your campus created a policy administrator position with responsibilities that include all or some of the functions identified above?

- ○ Yes
- ○ Considering the position
- ○ No

Block 2

Q4

Display this question

If Has your campus created a policy administrator position with responsibilities that include all or... Yes Is Selected

In what year was the decision made to create the policy administrator position on your campus?

Please select year

Q5

Display this question

If Has your campus created a policy administrator position with responsibilities that include all or... Yes Is Selected

Is the year entered in the previous question

- ○ Based on factual knowledge
- ○ An approximation—best guess/recollection
- ○ * Other (please specify)

End of Survey

Thank you for completing Part A of this survey which was purposefully kept short to achieve a higher response rate to establish prevalence. However, as you know, this is not sufficient to be worthy of a dissertation. I will be most grateful if you continue to Part B, which consists of 2 to 25 questions depending on your responses.

Link to Part B of the survey: http://colostate.az1.qualtrics.com/jfe/form/SV_b4rgCE2VgUAcrAx?Answer=${e://Field/Answer}

Policy Administrator Position Survey - Part B

Part 2 - Yes Response to Survey 1 Question 1 Answer A - Block 1

Q1

Policy Administrator Position

Position Characteristics

Q2

What one organizational area best describes where the policy administrator position reports to within the college or university structure?

- Executive administration
- Business or financial services
- Academic affairs
- Compliance or risk management
- Human resources
- General counsel
- ★ Other—none of the above describes our institution's situation (Please specify.)

Page Break

Q3

Which of the following responsibilities are included in the policy administrator position at your institution? (Select all that apply)

- Oversees a policy office?
- Strategic coordination of institutional policies across all areas including, but not limited to, general administration, finance, human resources, facilities, campus services, research and technology, and academic administration?
- Collaborates with policy "owners" in providing functional leadership in the development of policies?
- Collaborates with policy "owners" in providing functional leadership in the review of policies and processes?
- Oversees/coordinates the policy library, ensuring consistency in formatting/design and publication of approved policies?
- Promotes policies and procedural functions at the college/school level within the institution; providing training and professional development within the college/school?
- ★ Other? (Please list additional responsibilities.)

Page Break

Q4

How extensive is the policy administrator position? (Select the response that best describes this.)

- ○ ✶ One employee for whom policy administration is only part of his/her job workload? What percentage of the job is expected to be devoted to policy administration?
- ○ One employee for whom policy administration is a full-time commitment?
- ○ ✶ More than one employee who comprise a policy office? How many employee FTEs work in the policy office?

Page Break

Q5

Display this question

If How extensive is the policy administrator position? (Select the response that best describes this... One employee for whom policy administration is only part of his/her job workload? What percentage of the job is expected to be devoted to policy administration? Is Selected

What other main functions does the policy administrator do, in addition to policy administration?

Page Break

Q6

Is the policy administrator responsible for

- ○ All institutional policies on campus (e.g., finance, academic, HR, safety, general administration).
- ○ Only policies within a subunit of the campus.
- ○ ✶ Other—the options above do not adequately identify the policy administrator responsibilities at our institution. (Please explain.)

Page Break

Q7

Display this question

If Is the policy administrator responsible for Only policies within a subunit of the campus. Is Selected

Identify the subunit(s) (select all that applies):

- ☐ Academic
- ☐ Financial administration
- ☐ General administration
- ☐ Human resources
- ☐ Safety
- ☐ ★ Other (Please explain.)

Page Break

Q8

What educational qualifications are required for this position at your institution?

- ○ Baccalaureate degree required
- ○ Baccalaureate degree required; master's or higher preferred
- ○ Master's degree required
- ○ Master's degree required, higher degree preferred
- ○ Doctoral degree required
- ○ Professional degree required (e.g., JD)
- ○ ★ Other (Please specify.)

Page Break

Q9

What previous work experience is required or desired for this position?

The Diffusion of Innovation Process

The following questions are based on the work of Everett Rogers (2003). (Note: An innovation, as defined by Rogers, is "an idea, practice, or object that is perceived as new by an individual or another unit of adoption. An innovation presents an individual or an organization with a new alternative or alternatives, with new means of solving problems.").

Rogers, E.M. (2003). *Diffusion of innovations* (Fifth ed.). New York, NY: Free Press.

Page Break

Knowledge Stage

Q11 | Knowledge Stage--Awareness of policy administrator position on college/university campus

Knowledge Stage—Awareness of policy administrator position on college/university campuses

What was the origin of the idea to consider such a position at your institution?

- A perceived need to better manage policies on campus?
- ★ Awareness of the policy administrator position on the campus of other higher education institutions? (Please explain)

- ★ Other? (Please explain)

Page Break

Q12

Display this question

If Knowledge Stage--Awareness of policy administrator position on college/university campus A perceived need to better manage policies on campus? Is Selected

What need(s) was/were identified?

Q13

Display this question

If Knowledge Stage--Awareness of policy administrator position on college/university campus A perceived need to better manage policies on campus? Is Selected

What created the need (e.g., compliance/regulatory issues, incongruities with one or more other policies)? Compliance/regulatory issues—could be at one or more levels (i.e., institution, state, federal). (Please explain.)

Page Break

Q14

Persuasion Stage—Forming an attitude for or against the policy administrator position

After the initial awareness of the existence of the policy administrator position on other university campuses, how long did it take to implement or reject the idea of a policy administrator position? (Please elaborate on your answer including whether the initial decision was to accept or reject the position.)

Page Break

Q15

What was/were the motivation/factor(s) that led to the decision to create or reject a policy administrator position? (List all that apply, identify the most salient factor(s), and explain why each factor was salient.)

Page Break

Q16

Was the idea to create this position readily accepted/embraced by the campus community? Why or why not? (Please explain.)

Page Break

Q17

Decision Stage—adopt or reject

Were you part of the decision-making process when the policy administrator position was adopted?

- Yes
- No

Page Break

Q18

What components of the policy administrator position were salient to reaching a final decision, whether or not to create a policy administrator position? (Select all that apply.)

- [ ] Desire to formalize the policy process,
- [ ] Vet policies by appropriate committees, etc.
- [ ] Review existing policies and update on a regular basis.
- [ ] Appropriate policies are in place and kept up-to-date to meet federal, state compliance requirements.
- [ ] Alignment among policies at various levels of the institution (e.g., school/college policies aligned with related university policies).
- [ ] Alignment among policies with external policies (e.g., federal, state, board of regents).
- [ ] ★ Other (Please explain.)

Page Break

Q19

Which of the following best describes the decision process in creating or rejecting a policy administrator position at your institution?

- ○ "*Optional innovation-decision* are choices to adopt or reject an innovation that are made by an individual independent of the decisions of the other members of the system. . .
- ○ *Collective innovation-decisions* . . . All units in the system usually must conform to the system's decision once it is made.
- ○ *Authority innovation-decisions* . . . made by a relatively few individuals in a system who possess power, status, or technical expertise" (Rogers, 2003, p. 28).
- ○ ★ Other (Please explain.).

Page Break

Q20

Implementation Stage

What were the goals or desired outcomes of the policy administrator position when it was created?

Page Break

Q21

What issues needed to be addressed in the process of achieving these goals and outcomes?

Q22

How have those goals or outcomes been realized?

Page Break

Q23

Was another institution used as a role model for designing the position at your institution?

- Yes
- No

Page Break

Q24

Display this question

If Was another institution used as a role model for designing the position at your institution? Yes Is Selected

Did your institution

- Mimic what was observed at the institution being modeled?
- Re-invent the position during implementation to make the new position a better fit for your organization?

Q25

Display this question

If Did your institution Re-invent the position during implementation to make the new position a better fit for your organization? Is Selected

What changes were made during implementation and why?

Q26

Confirmation of this decision

What confirmed having the position within the institution? (Please explain.)

Page Break

Q27

Once implemented, was there?

- Confirmation the position was accepted within the institution
- Disenchantment
- Disenchantment with a move to discontinue the position

Q28

Display this question

If Once implemented, was there? Disenchantment Is Selected

What skepticism or doubt was suggested/expressed?

Q29

Display this question

If Once implemented, was there? Disenchantment with a move to discontinue the position Is Selected

What skepticism or doubt was suggested/expressed? And, what was done to address these concerns?

Page Break

Q30

Now that the policy administrator position has been created, how does the position contribute to the overall operations of the college or university?

Q31

Please provide additional information you think may enhance this study—a story of your experience, a list of lessons learned or if we had only known, etc. (optional).

Page Break

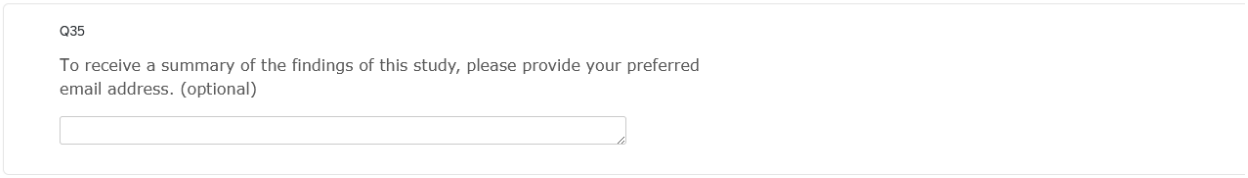
Q32

If the researcher has a need for further clarification, are you willing to be contacted?

- Yes
- No

Page Break

Page Break



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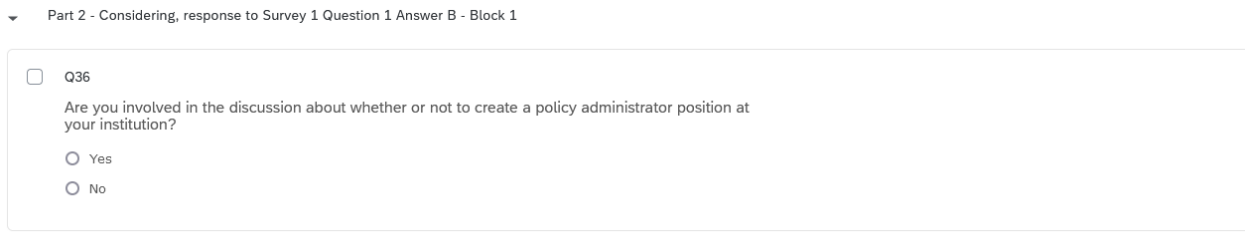

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Q37

What components of the policy administrator position are salient to reaching a final decision, whether or not to create a policy administrator position? (Select all that apply)

- [ ] Desire to formalize the policy process.
- [ ] Vet policies by appropriate committees, etc.
- [ ] Review existing policies and update on a regular basis.
- [ ] Appropriate policies are in place and kept up-to-date to meet federal, state compliance requirements.
- [ ] Alignment among policies at various levels of the institution (e.g., school/college policies aligned with related university policies).
- [ ] Alignment among policies with external policies (e.g., federal, state, board of regents).
- [ ] * Other (Please explain).

Page Break

Q38

The Diffusion of Innovation Process

The following questions are based on the work of Everett Rogers (2003). (Note: An innovation, as defined by Rogers, is "an idea, practice, or object that is perceived as new by an individual or another unit of adoption. An innovation presents an individual or an organization with a new alternative or alternatives, with new means of solving problems.").

Rogers, E.M. (2003). *Diffusion of innovations* (Fifth ed.). New York, NY: Free Press.

Page Break

Q39

Knowledge Stage—Awareness of policy administrator position on university campuses

What was the origin of the idea to consider such a position?

- ○ ★ A perceived need to better manage policies on campus?
- ○ ★ Awareness of the policy administrator position on the campus of other higher education institutions? (Please explain)

- ○ ★ Other, Identify (Please explain.)

Page Break

Q40

Display this question

If Knowledge Stage—Awareness of policy administrator position on university campuses What was the or... A perceived need to better manage policies on campus? Is Selected

What need(s) was/were identified?

Q41

Display this question

If Knowledge Stage—Awareness of policy administrator position on university campuses What was the or... A perceived need to better manage policies on campus? Is Selected

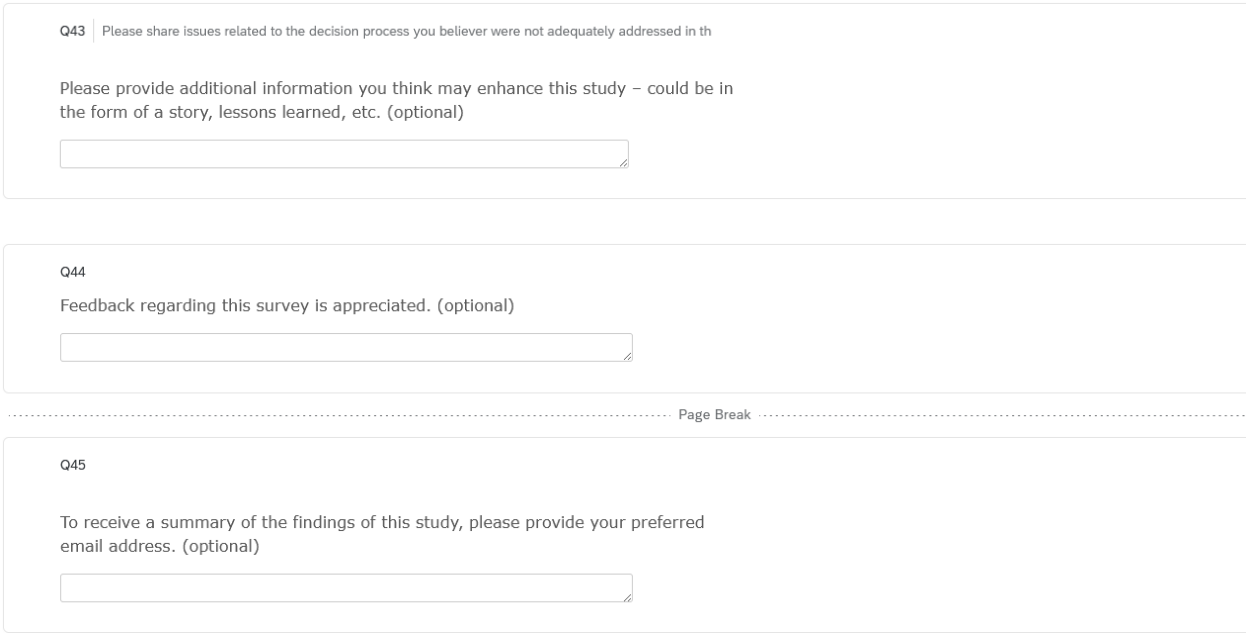
What created the need (e.g., compliance/regulatory issues, incongruence with one or more other policies)? Compliance/regulatory issues—could be at one or more levels (i.e., institution, state, federal). (Please explain.)

Page Break

Q42 What are the next steps or factors to consider to arrive at a decision to accept or reject the creat

What are the next steps or factors to consider to arrive at a decision to accept or reject the creation of a policy administrator position?

Page Break



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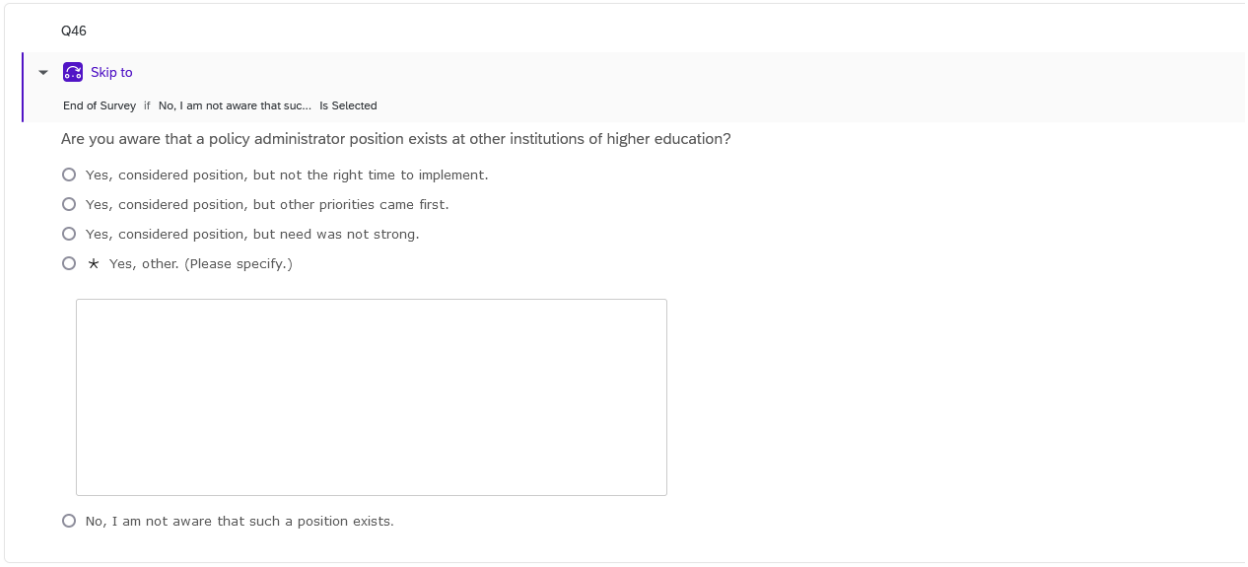

Q47

What was the source of this awareness? (Select all that apply)

- [ ] My counterpart (individual in my same position) at another institution.
- [ ] ★ Through interpersonal networks. (Please elaborate on this, e.g., discussion at a professional conference—include name of conference.)

- [ ] ★ Other—none of the above describes our situation. (Please specify.)

Page Break

Q48

What is the current status?

- ○ Still being considered.
- ○ Not needed.

Q49

Display this question

If What is the current status? Not needed. Is Selected

If determined the position is not needed, why not? (Select all that apply)

- [ ] Simple organizational structure—No need to coordinate policies across several entities (e.g., a single college versus a university with many colleges).
- [ ] Policy management already working well without a position designated as a policy administrator.
- [ ] Finances—not in the budget, at time of consideration, to add another position.
- [ ] Other (Please explain.)

Q50

Please provide additional information you think may enhance this study—a story of your experience, a list of lessons learned, or if we had only known, etc. (optional)

Q51

Feedback regarding this survey is appreciated. (optional)

Page Break

Q52

To receive a summary of the findings of this study, please provide your preferred email address. (optional)

End of the third branch. Survey moves to end-of-survey message.

Appendix B: Data Sources, Elements, and Coding With Descriptions

Data sources, Elements, and Coding with Descriptions

		Categories	
Data Source	Data Element	Code	Description
HEP Directory	Unit ID		6-digit unique institution identifier
	Institution name		
	City location		
	State location		
	Position classification	05	Chief Academic Officer
		10	Chief Financial/Business Officer
		43	Director of Legal Services (General Counsel)
	Name of contact		
	Contact's email address		
	Regional accreditation agency	M	Middle States Commission on Higher Education
		EH	x, Commission on Institutions of Higher Education
		NH	The Higher Learning Commission (aka North Central Association of Colleges and Schools)
		NW	Northwest Commission on Colleges and Universities
		SC	Southern Association of Colleges and Schools, Commission on Colleges
		WC	Western Association of Schools and Colleges, Senior College and University Commission

Data Source	Data Element	Categories	
		Code	Description
		WJ	Western Association of Schools and Colleges, Accrediting Commission for Community and Junior Colleges
IPEDS database	Unit ID		6-digit unique institution identifier
	Degree-granting status[1]	1	Degree-granting
		2	Nondegree-granting, primarily postsecondary
	Carnegie classification (See Appendix C for recoding of this data element.)	15	Doctoral/Research Universities—Extensive
		16	Doctoral/Research Universities—Intensive
		21	Masters Colleges and Universities I
		22	Masters Colleges and Universities II
		31	Baccalaureate Colleges—Liberal Arts
		32	Baccalaureate Colleges—General
		33	Baccalaureate/Associates Colleges
		40	Associates Colleges
		51	Theological seminaries and other specialized faith-related institutions
		52	Medical schools and medical centers
		53	Other separate health profession schools
		54	Schools of engineering and technology
		55	Schools of business and management
		56	Schools of art, music, and design
		57	Schools of law
		58	Teachers colleges

Data Source	Data Element	Categories	
		Code	Description
		59	Other specialized institutions
		60	Tribal colleges
		-3	{Item not available}
	Sector	1	Public, 4-year or above
		2	Private not-for-profit, 4-year or above
		3	Private for-profit, 4-year or above
		4	Public, 2-year
		5	Private not-for-profit, 2-year
		6	Private for-profit, 2-year
	Geographic Region – including name of region and states included in the region	0	US Service schools
		1	New England CT ME MA NH RI VT
		2	Mid East DE DC MD NJ NY PA
		3	Great Lakes IL IN MI OH WI
		4	Plains IA KS MN MO NE ND SD
		5	Southeast AL AR FL GA KY LA MS NC SC TN VA WV
		6	Southwest AZ NM OK TX
		7	Rocky Mountains CO ID MT UT WY
		8	Far West AK CA HI NV OR WA
		9	Outlying areas AS FM GU MH MP PR PW VI
	Institution Size (enrollment headcount)	1	Under 1,000

Data Source	Data Element	Categories	
		Code	Description
		2	1,000 to 4,999
		3	5,000 to 9,999
		4	10,000 to 19,999
		5	20,000 and above
		-1	Not reported
		-2	Not applicable
Researcher created survey	Unit ID		6-digit unique institution identifier
	Q A1 Policy Administrator Position	1	Yes, institution has position
		2	Considering
		3	No, institution does not have position
	Q A2 Position Year		Actual year Policy Administrator position was created
	Q A3 Reliability of Year Entered	1	Based on factual knowledge
		2	An approximation ─ best guess/recollection
		3	Other (please specify)
	Q B1 Organizational Area of Position	1	Executive Administration
		2	Business or financial services
		3	Academic Affairs
		4	Compliance or risk management
		5	Human resources
		6	General counsel

Data Source	Data Element	Categories	
		Code	Description
		7	Other (please specify)
	Q B2 Position responsibilities	1	Oversees a policy office
		2	Strategic coordination of institutional policies across all areas including, but not limited to, general administration, finance, human resources, facilities, campus services, research and technology, and academic administration
		3	Collaborates with policy "owners" in providing functional leadership in the development of policies
		4	Collaborates with policy "owners" in providing functional leadership in the review of policies and processes
		5	Oversees/coordinates the policy library, ensuring consistency in formatting/design and publication of approved policies
		6	Promotes policies and procedural functions at the college/school level within the institution; providing training and professional development within the college/school?
		7	Other (please list additional responsibilities)
	Q B3 Extensiveness of position	1	One employee for whom policy administration is only part of his/her job workload? What percentage of the job is expected to be devoted to policy administration?
		2	One employee for whom policy administration is a full-time commitment.

Data Source	Data Element	Categories	
		Code	Description
		3	More than one employee who comprise a policy office? How many employee FTEs work in the policy office?
	Q B5 Responsibility for policy categories	1	All institutional policies on campus (e.g., finance, academic, HR, safety, general administration)
		2	Only policies within a subunit of the campus.
		3	Other (please explain)
	Q B6 Identify subunits	1	Academic
		2	Financial administration
		3	General administration
		4	Human resources
		5	Safety
		6	Other (please explain)
	Q B7 Educational qualifications	1	Baccalaureate degree required
		2	Baccalaureate degree required; master's or higher preferred
		3	Master's degree required
		4	Master's degree required, higher degree preferred
		5	Doctoral degree required
		6	Professional degree required (e.g., JD)
		7	Other (please specify)
	Q B9 Origin of idea	1	A perceived need to better manage policies on campus?

Data Source	Data Element	Categories	
		Code	Description
		2	Awareness of the policy administrator position on the campus of other higher education institutions? (Please explain)
		4	Other (Please explain)
	Q B15 Respondent is part of the decision-making process	1	Yes
		2	No
	Q B16 Salient components of position	1	Desire to formalize the policy process
		2	Ensure that policies are vetted by appropriate committees, etc.
		3	Ensure that existing policies are reviewed and updated on a regular basis
		4	Ensure that appropriate policies are in place and kept up-to-date to meet federal, state compliance requirements
		5	Ensure alignment among policies at various levels of the institution (e.g., school/college policies aligned with related university policies)
		6	Ensure alignment among policies with external policies (e.g., federal, state, board of regents)
		7	Other (please specify)
	Q B17 Decision process	1	*Optional innovation-decision* are choices to adopt or reject an innovation that are made by an individual independent of the decisions of the other members of the system

Data Source	Data Element	Categories	
		Code	Description
		2	*Collective innovation-decisions* . . . All units in the system usually must conform to the system's decision once it is made.
		3	*Authority innovation-decisions* . . . made by a relatively few individuals in a system who possess power, status, or technical expertise.
		4	Other (please explain)
	Q B 21 Another institution used as a role model	1	Yes
		2	No
	Q B22 Did your institution?	1	Mimic what was observed at the institution being modeled?
		2	Re-invent the position during implementation . . . ?
	Q B25 Once implemented was there?	1	Confirmation the position was accepted within the organization
		2	Disenchantment
		3	Disenchantment with a move to discontinue the position
	Q B30 Willing to be contacted	1	Yes
		2	No
	Q B34 Involved in the discussion (similar to Q B15 in branch 1)	1	Yes
		2	No
	Q B35 Components salient to final	1	Desire to formalize the policy process

Data Source	Data Element	Categories	
		Code	Description
	decision (same as Q B16 in branch 1)		
		2	Ensure that policies are vetted by appropriate committees, etc.
		3	Ensure that existing policies are reviewed and updated on a regular basis
		4	Ensure that appropriate policies are in place and kept up-to-date to meet federal, state compliance requirements
		5	Ensure alignment among policies at various levels of the institution (e.g., school/college policies aligned with related university policies)
		6	Ensure alignment among policies with external policies (e.g., federal, state, board of regents)
		7	Other (please specify)
	Q B36 Origin of idea (same as Q B9 in branch 1)	1	A perceived need to better manage policies on campus?
		2	Awareness of the policy administrator position on the campus of other higher education institutions? (Please explain)
		3	Other (Please explain)
	Q B43 Aware of position at other institutions	1	Yes, considered position, but not the right time to implement
		2	Yes, considered position, but other priorities came first
		3	Yes, considered position, but need was not strong

Data Source	Data Element	Categories	
		Code	Description
		4	Yes, other (please specify)
		5	No, I am not aware that such a position exists.
	Q B44 Source of awareness	1	My counterpart (individual in my same position) at another institution
		2	Through interpersonal networks (Please elaborate on this, e.g., discussion at a professional conference - include name of conference)
		3	Other: (please specify)
	Q B45 Current status	1	Still being considered
		2	Not needed
	Q B46 Position not needed, why not?	1	Simple organizational structure . . .
		2	Policy management already working . . .
		3	Finances—not in the budget . . .
		4	Other (Please explain)

[1]Variable selected solely for the purpose of removing nondegree granting institutions from the analysis process.

Appendix C: Recoding of Carnegie Classifications

Recode	Description	Original Code	Description
1	x	15	Doctoral/Research Universities—Extensive
		16	Doctoral/Research Universities—Intensive
2	Masters Colleges and Universities	21	Masters Colleges and Universities I
		22	Masters Colleges and Universities II
3	Baccalaureate Colleges	31	Baccalaureate Colleges—Liberal Arts
		32	Baccalaureate Colleges—General
		33	Baccalaureate/Associates Colleges
4	Associates Colleges	40	Associates Colleges
5	Special focus institutions	51	Theological seminaries and other specialized faith-related institutions
		52	Medical schools and medical centers
		53	Other separate health profession schools
		54	Schools of engineering and technology
		55	Schools of business and management
		56	Schools of art, music, and design
		57	Schools of law
		58	Teachers colleges
		59	Other specialized institutions
6	Tribal colleges	60	Tribal colleges
		-3	{Item not available}

Appendix D: Relationship Between Research Questions and Survey Questions

Research Questions	Concepts/Variables	Data Source
RQ 1: To what extent has the policy administrator position diffused among regionally accredited, degree-granting higher education institutions in the U.S.? What is the rate of adoption?	The rate of adoption of an innovation (policy administrator position) follows an S-shaped curve when the cumulative number or percentage of adopters is plotted over time (Rogers, 2003). The expected unit of time for this study is the year of adoption. Data may indicate another unit of time to be more useful. Adopter categories (i.e., innovators, early adopters, early majority, late majority, and laggards) can also be determined with these data provided the response rate is high enough to determine a complete adoption. "The mean (x) and standard deviation (sd) are used to divide a normal adopter distribution into five categories . . . . One difficulty with this method of adopter classification is incomplete adoption which occurs for innovations that have not reached 100 percent use" (Rogers, 2003, pp. 280-281).	Survey, Part A. Questions 1 through 3.

Research Questions	Concepts/Variables	Data Source
RQ 2: What is the relationship of the presence of a policy administrator position and institution characteristics (i.e., Carnegie classification, institutional control, institution level, size (enrollment headcount), geographical location?	Carnegie classification, institutional control, level, size (enrollment headcount), geographic region.	IPEDS data downloaded from The National Center for Education Statistics (NCES) Survey, Part A. Questions 1, 2, & 3.
RQ 3: What is the relationship of the absence of a policy administrator position and institutional characteristics (e.g., Carnegie classification, institutional control, institution level, size (enrollment headcount), geographical location)?	Carnegie classification, institutional control, level, size (enrollment headcount), geographic region.	IPEDS data downloaded from The National Center for Education Statistics (NCES) Survey, Part A. Question 1
RQ 4: For institutions with a policy administrator, what is the scope of responsibilities?	This is to assess the consistency in which the term *policy administrator* is applied among institutions.	Survey, Part B. Questions 2, through 6
Qualitative questions		
RQ 5: What was the *innovation-decision process*?	"The *innovation-decision process* is the process through which an individual (or other decision-making unit) passes from first knowledge of an innovation, to the formation of an attitude toward the innovation, to a decision to adopt or reject, to implementation and use of the new idea, and to confirmation of this decision" (Rogers, 2003, p. 20).	Survey, Part B. Questions 9 through 29

Research Questions	Concepts/Variables	Data Source
RQ 6: For those institutions that have adopted a policy administrator position, what factors were the most salient to the decision to create this position?	Diffusion of Innovation is a change theory (Rogers, 2003). While some innovations are sought to solve problems, organizations will also watch for solutions without a specific problem in mind (March, 1981).	Survey, Part B. Question 13, 16
RQ 7: For those institutions that have not adopted a policy administrator position, what factors were the most salient to the decision to create this position?	". . . we know too much about innovation successes and not enough about innovation failures. The latter might be more valuable in an intellectual sense" (Rogers, 2003, p. 111).	Survey 2. Questions 42 through 45

Appendix E: Survey Introductory Email

Colorado State University

College of Health and Human Sciences
School of Education
209 Education Building • 1588 Campus Delivery • Fort Collins, Colorado 80523-1588
Phone: (970) 491-6317 • Fax: (970) 491-1317 • www.soe.chhs.colostate.edu

Dear University Administrator,

I am a doctoral candidate in the School of Education at Colorado State University. My dissertation topic focuses on the policy administrator position on college/university campuses; more specifically, the prevalence and the process by which the position was adopted. This is based on the work of Everett Rogers' *Diffusion of Innovation*. Very little is known about such a position, even on some campuses with the position.

This may be an emerging position on campuses, but no empirical evidence has been found to confirm this. Your participation will provide data to establish this. The survey gives institutions an opportunity to provide valuable information on why the position was, or was not, created plus beneficial information for campuses who are considering or unaware of such a position. Outcomes of this study will be provided to those who participate.

Based on position, you have been selected to receive a survey, which will be sent out in a couple of days. The subject line of the survey reads, "Policy Administrator Position Survey." The survey has two parts. Part A is purposely very short— one to three questions depending on the response to the first question. It is important to the study to determine prevalence and to do so, the closer to 100% participation, the better.

I know how demanding an administrative positions is, but ask you to complete at least Part A of the survey, which should take only a couple of minutes. Whether or not your campus has a policy administrator position, is considering or does not have such a position; a response to Part A is vital to this study. Completing Part B will contribute important substance, providing outcomes that may benefit many college/universities.

Your interest and contribution are appreciated as we may be developing the 'go to' source for many others as to policy administrators in higher education. Be part of this.

Thank you,

Janelle Pyke
Doctoral Candidate
Colorado State University

Appendix F: Survey Invitation Email

Colorado State University

College of Health and Human Sciences
School of Education
209 Education Building • 1588 Campus Delivery • Fort Collins, Colorado 80523-1588
Phone: (970) 491-6317 • Fax: (970) 491-1317 • www.soe.chhs.colostate.edu

October 2020

Dear University Administrator,

My name is Janelle Pyke and I am a doctoral candidate at Colorado State University in the School of Education. For my dissertation, we are conducting a research study on the position of a policy administrator. The title is the *Policy Administrator Position Diffusion: Regionally-Accredited Higher Education Institutions in the United States*. The Principal Investigator is Dr. Carole Makela, School of Education, and I am the Co-Principal Investigator.

We are requesting you to take an online survey which has two parts. Participation in Part A of the survey will take a couple of minutes (1 to 3 questions). Part B may take between two minutes and 45 minutes (5 to 24 questions) depending on responses to some questions. You do not need to complete the survey in one sitting. Your participation in this research is voluntary. If you decide to participate in the study, you may withdraw your consent and stop participation at any time without penalty.

A list of contacts was purchased from the Higher Education Directory, which includes name, email address, institution, and IPEDS Unit ID. The Unit ID will be used to link responses to IPEDS data (institutional characteristics). When we report and share the data with others, we will combine the data from all participants. We will keep your data confidential; your name and data will be kept separately. No personal data will be collected, only institutional information. Collected data will be accessible only to the research team. Data security will be maintained in accordance with Qualtrics® standards.

While there may be no direct benefits to you, we hope to gain more knowledge on the prevalence of the policy administrator position and the decision process by which it was adopted or rejected on your campus. Institutions without a policy administrator position or who may be considering one, may find this study insightful regarding future consideration of such a position. Summary findings will be available.

There are no known risks to participants as all data analyzed will be institutional and much of it already available to the public. It is not possible to identify all potential risks in research

procedures, but the researcher(s) have taken reasonable safeguards to minimize any known and potential (but unknown) risks.

To indicate your willingness to participate in this research and to continue on to the survey, click here: Take the Survey.

Or copy and paste the URL below into your Internet browser:
http://colostate.az1.qualtrics.com/jfe/form/SV_3DkkXbvFnwMXqbH?Q_DL=7NJ6qmHtFTA3uxT_3DkkXbvFnwMXqbH_MLRP_7QycYyu1H1wNmnP&Q_CHL=email

Follow the link to opt out of future emails:
Click here to unsubscribe.

If you have any questions about the research, please contact Janelle Pyke at janelle.pyke@colostate.edu or Dr. Makela at carole.makela@colostate.edu. If you have any questions about your rights as a volunteer in this research, contact the CSU IRB at: RICRO_IRB@mail.colostate.edu; 970-491-1553.

Carole Makela, PhD	Janelle Pyke
Professor	Doctoral Candidate

Appendix G: IRB Approval

Colorado State University
Knowledge to Go Places

ePotocol
Office of the Vice President for Research
321 General Services Building - Campus Delivery 2011 eprotocol
TEL: (970) 491-1553

NOTICE OF APPROVAL FOR HUMAN RESEARCH

DATE:	January 27, 2020
TO:	Makela, Carole, School of Education
	Faircloth, Susan, School of Education, Pyke, Janelle, School of Education
FROM:	Felton-Noyle, Tammy, Senior IRB Coordinator, BMR, CSU IRB Exempt
PROTOCOL TITLE:	Policy Administrator Position Diffusion: Regionally Accredited Higher Education Institutions in the United States' This is the same as the proposal title.
FUNDING SOURCE:	NONE
PROTOCOL NUMBER:	19-9201H

The CSU Institutional Review Board (IRB) for the protection of human subjects has reviewed the protocol entitled: Policy Administrator Position Diffusion: Regionally Accredited Higher Education Institutions in the United States' This is the same as the proposal title.. The project has been approved for the procedures and subjects described in the protocol.
Full Board Review: This protocol must be reviewed for renewal at least annually for as long as the research remains active. Should the protocol not be renewed before expiration, all activities must cease until the protocol has been re-reviewed.
Expedited Review: This protocol is approved for a duration of three years, unless otherwise notified. You remain obligated to submit amendments, deviations, unanticipated problems per policy.
Exempt Review: This protocol is approved for a duration of five years. You remain obligated to submit amendments, deviations, unanticipated problems per policy.

Important Reminder: If you will consent your participants with a signed consent document, it is your responsibility to use the consent form that has been finalized and uploaded into the consent section of eProtocol by the IRB coordinators. Failure to use the finalized consent form available to you in eProtocol is a reportable protocol violation.

If approval did not accompany a proposal when it was submitted to a sponsor, it is the PI's responsibility to provide the sponsor with the approval notice.

This approval is issued under Colorado State University's Federal Wide Assurance 00000647 with the Office for Human Research Protections (OHRP). If you have any questions regarding your obligations under CSU's Assurance, please do not hesitate to contact us.

Please direct any questions about the IRB's actions on this project to:

IRB Office - (970) 491-1553; RICRO_IRB@mail.Colostate.edu
Claire Chance, Senior IRB Coordinator - (970) 491-1381; Claire.Chance@Colostate.edu
Tammy Felton-Noyle, IRB Biomedical Coordinator - (970) 491-1655; Tammy.Felton-Noyle@Colostate.edu

Felton-Noyle, Tammy

Initial exempt determination has been granted January 27, 2020 to recruit with the approved recruitment and consent procedures. The above-referenced research activity has been reviewed and determined to meet exempt review by the

Institutional Review Board under exempt category 2(i) of the 2018 Requirements. Approved documents include: Dissertation Proposal # Chapter 3 Methods, 10Nov2019; Appendix B #Data Sources, Elements, & Coding with Descriptions; Appendix C # Recoding of Carnegie Classifications; Appendix D # Relationship Between Research Questions & Survey Questions; Appendix A # Survey; Appendix E # Introductory Email; Appendix F # Invitation Email.

Appendix H: Analysis of Themes

This example of an analysis of themes is based on responses to the following survey question, What was/were the motivation/factor(s) that led to the decision to create or reject a policy administrator position? (List all that apply, identify the most salient factor(s), and explain why each factor was salient.)

Responses to survey questions were downloaded from Qualtrics into an Excel spreadsheet. The data were sorted based on institution size, then copied-and-pasted into a Word document. Headers, identifying the institution size, were inserted appropriately into the Word document and the responses for each size category were color coded as seen in the sample below.

All responses were reviewed to gain a sense of possible themes. A two-column table was created with themes identified in the left column and responses related to each theme copied into the right column. Responses not identified with a theme were placed in a miscellaneous category. Once all the responses were copied into the appropriate location in the table, the responses identified as miscellaneous were reviewed again for possible additional themes. If another theme became apparent, a row with the new theme was added to the table and responses moved from "miscellaneous" to the new theme. The numbers in red facilitated counting the responses in each theme to ensure all responses had been copied to the table. The total number was added to the theme in the left column. Responses containing more than one theme were separated by theme and added to the appropriate category. These are not numbered, but were added to the second total appearing in the theme column. Clarifying comments were added in purple text following a response when the response referenced an earlier response.

Under 1,000 (7 responses)

The need to organize our policies into one repository, so we can easily find things and to make onboarding new staff more effective and efficient. The need to have a central map of ownership, so we can know who will review and revise policies appropriately.

Risk Management and desire for better transparency of policy throughout the institution were the motivating factors.

Unsure

First it was a fulltime VP which was considered extravagant for our needs; then it was a part time position which couldn't be filled with the requisite skills; then it was tagged to a dean with the requisite skills

Need for centralized oversight

We are small enough to simply add to someone's responsibilities

Lack of time among the departments to develop a standardized and cataloged reference resource containing all approved policies in the University that would be current and easily accessed by students and faculty alike.

1,000 to 4,999 (20 responses)

In our academic health care system, a policy department of the hospital system was seen as essential and it became obvious that a parallel coordinating function was needed within the University system

The need to have updated and timely policies at the university

Embarrassment of not having enough policies to point to when important questions arise. Risk awareness. Risk management. Transparency. Inability (or limited ability) to hold someone accountable without policy. General ignorance of university policy across divisions.

Compliance concerns and many policies are required by statute. Consistency of policy format and application. Awareness and ease of finding policies

The contradictions between units led to gridlock and exceptionalism. We simply had to have a central policy authority for the institution.

Recognition of the outdated policies due to new personnel in administrative positions

Again, just a way to manage the policies.

Was not here.

As general counsel, I realized that we needed policies to conform with legal requirements. Not only did we need to create policies that were in compliance, but we also need to make sure we had a process to review them to ensure that the laws and policies were in sync over time. I also recognized that it is much easier to defend the university when people are following good, clearly worded, mission-driven policies. And I realized that we could not do this without someone being in charge of and owning the process.

Outdated policies and compliance issues resulting from people not informed that the policy was enacted

Our policies were a mess - outdated, decades old. The opportunity to have a person work on them arose due to an unexpected death - an urgent need to reshuffle work at the institution to cover the work that person did - combined with a dean close to retirement who was interested in both the work of the person who died (not a full-time role) and policies. She had the skill set for both roles so we put her into that role for 2 years and created a succession plan for that work. The policy piece moved to our HLC accreditation and compliance person when she retired - that allowed the two of them to work together for a smooth transition of the work.

Key motivational factors included: the need to quickly demonstrate compliance with multiple SACSCOC policies and standards by creating approved policies and procedures and archiving evidentiary documents.

Again, the need to get organized and establish an institutional compliance function. Organizing policies and procedures was a natural first step.

Accountability - accreditation demand and improved campus efficiency. Need to put responsibility in a specific individual’s position description

I'm not aware of all the factors.

I'm sure they created due to a need to have more robust policy development and management processes.

I believe the motivation came from a new president who had experience with the value of a position at prior institutions. The original title was "Director of Equity, Compliance and Risk Management."

Recognized need among constituents

Need to revise policies to be consistent in format. Recent Accreditation review.

Differentiation between President duties and a role that would be responsible for academic and student policies.

5,000 to 9,999 (13 responses)

Compliance and engagement

not sure

Compliance/regulatory issues and incongruities among policies - The position was established around the time of preparing for our reaffirmation of accreditation

We did not create a policy administrator position. It is a function.

The need to have a policy library and a process to develop policies was the motivating factor.

The general counsel was constantly called to address policy issues, but the GC had limited bandwidth.

Employees saw the need for the position, so that was the motivation.

Need to better organize and management policy on campus. Need to ensure that we are meeting regional accreditation standards (Middle States)

Need for more uniformity in process and cultivation of policies.

The general counsel position was new. The policy administrator function became part of the duties of the general counsel. There was no need to add to head count or expense.

High degree of perceived risk at high levels of the organization; concerns about external funding - both were very strong drivers.

Remaining in compliance with all system regulations and state, local, federal laws

see prior responses. [a need for policies other institutions have]

10,000 to 19,999 (15 responses)

I do not know.

Again, the motivation was to have a central location for all policies and to have someone to manage this to ensure that only University policies were included and to assist staff when new policies were being created or existing policies revised.

Leadership initiative and support (critical) -- not simply the President leadership but broad support in the executive council which filters down to all units on campus; system support for ERM (important but not essential as not required by system); desire for establishing institutional policies in a cohesive manner (critical)

balancing of needs and resources

Lack of consistency

Policies were kept by policy owners in separate locations. The goal was to consolidated policies into one place

(1) need for unified retention, organization and review process; (2) recognition it needed a dedicated resource in order to make sure the work was done regularly.

Compliance; Work load

We had the budget, policies were conflicting, and students suffered.

As noted earlier, it was added duties to the existing General Counsel position.

Need to braid efforts in policy and procedure in a multi-college system...

Need for up to date policies; need to communicate and post most recent policies. This was identified as a need in a Strategic Plan for the University.

Compliance (Clery Act violation/fine) and outward policy visibility/availability. The University was found to be in violation of the Clery Act. Thirteen new policy documents were created in a response to that issue and, in my opinion, was the reason why the policy development process and policy liaison role/administrator finally stuck. Secondly, having the ability to point to and reference a written policy (that was posted online in one location) that was drafted in accordance with a specific processes and then archived when superseded was also crucial to the continuation of the policy administrator portion of my job description.

I think I have covered this. [related response to an earlier question was “not clear what policies existed”]

Unknown

20,000 and higher (13 responses)

To solve the problems identified earlier (A centralized format and repository for policies)

Need to review new policies and track changes to existing policies.

See first comment. (Our campus gained independence from a statewide system; it was necessary to cull former systemwide policies to see which needed to be adapted to the campus as an independent)

The president had appointed a committee to develop an online policy library. The committee came to the conclusion that dedicated staff would be needed to administer the policy library, with the first big job to be searching out policies and populating the policy library.

Compliance, people did not know where to go or who to ask, many decisions made without understanding the policy and regulatory environment. RISK!

Our university has a culture of not pushing back on Trustee or System office requests.

Created because everyone saw the need

It was felt that we needed a *person* to oversee all university policies, centrally

Realization that the Chief Compliance Officer could not adequately perform the required functions given her other responsibilities.

The need for consistency and the understanding that this would take an office dedicated to just policy to implement.

The way we do it now, which includes a policy committee chair, representatives from all divisions, and ex officio legal representative. No one got paid extra to add these duties to their regular workload. It was easy and inexpensive.

The motivation was the sheer number of policies that existed in multiple formats. Standardization was going to take full-time management.

See prior responses. However, if you would like these answers, that individual (while retired) might be able to contribute.

Theme	Responses
One repository (9) 10	The need to organize our policies into one repository, so we can easily find things and to make onboarding new staff more effective and efficient. The need to have a central map of ownership, so we can know who will review and revise policies appropriately. (1) Lack of time among the departments to develop a standardized and cataloged reference resource containing all approved policies in the University that would be current and easily accessed by students and faculty alike. (2) Risk Management and desire for better transparency of policy throughout the institution were the motivating factors. (3)

Theme	Responses
	Compliance concerns and many policies are required by statute. Consistency of policy format and application. Awareness and ease of finding policies (4) The need to have a policy library and a process to develop policies was the motivating factor. (5) Again, the motivation was to have a central location for all policies and to have someone to manage this to ensure that only University policies were included and to assist staff when new policies were being created or existing policies revised. (6) Policies were kept by policy owners in separate locations. The goal was to consolidated policies into one place (7) I think I have covered this. [not clear what policies existed] (8) Secondly, having the ability to point to and reference a written policy (that was posted online in one location) that was drafted in accordance with a specific processes and then archived when superseded was also crucial To solve the problems identified earlier [A centralized format and repository for policies] (10)
Oversight (22) 27	The need to have a central map of ownership, so we can know who will review and revise policies appropriately. Need for centralized oversight (1) Consistency of policy format and application. A process to develop policies was the motivating factor. The contradictions between units led to gridlock and exceptionalism. We simply had to have a central policy authority for the institution. (2) Again, just a way to manage the policies. (3) Recognized need among constituents (4) Need to revise policies to be consistent in format. Recent Accreditation review. (5) As general counsel, I realized that we needed policies to conform with legal requirements. Not only did we need to create policies that were in compliance, but we also need to make sure we had a process to review them to ensure that the laws and policies were in sync over time. I also recognized that it is much easier to defend the university when people are following good, clearly worded, mission-driven policies. And I realized that we could not

Theme	Responses
	do this without someone being in charge of and owning the process. (6) Employees saw the need for the position, so that was the motivation. (7) Need to better organize and management policy on campus. Need to ensure that we are meeting regional accreditation standards (Middle States) (8) Need for more uniformity in process and cultivation of policies. (9) Accountability - accreditation demand and improved campus efficiency. Need to put responsibility in a specific individual's position description (10) Leadership initiative and support (critical) -- not simply the President leadership but broad support in the executive council which filters down to all units on campus; system support for ERM (important but not essential as not required by system); desire for establishing institutional policies in a cohesive manner (critical) (11) To have someone to manage this to ensure that only University policies were included and to assist staff when new policies were being created or existing policies revised. Lack of consistency (12) (1) need for unified retention, organization and review process; (2) recognition it needed a dedicated resource in order to make sure the work was done regularly. (13) We had the budget, policies were conflicting, and students suffered. (14) Need to braid efforts in policy and procedure in a multi-college system. (15) A centralized format Need to review new policies and track changes to existing policies. (16) See first comment. (Our campus gained independence from a statewide system; it was necessary to cull former system-wide policies to see which needed to be adapted to the campus as an independent) (17) The president had appointed a committee to develop an online policy library. The committee came to the conclusion that

Theme	Responses
	dedicated staff would be needed to administer the policy library, with the first big job to be searching out policies and populating the policy library. (18) It was felt that we needed a *person* to oversee all university policies, centrally (19) Realization that the Chief Compliance Officer could not adequately perform the required functions given her other responsibilities. (20) The need for consistency and the understanding that this would take an office dedicated to just policy to implement. (21) The motivation was the sheer number of policies that existed in multiple formats. Standardization was going to take full-time management. (22)
Up-to-date policies (6)	Recognition of the outdated policies due to new personnel in administrative positions (1) Embarrassment of not having enough policies to point to when important questions arise. Risk awareness. Risk management. Transparency. Inability (or limited ability) to hold someone accountable without policy. General ignorance of university policy across divisions. (2) The need to have updated and timely policies at the university (3) Outdated policies and compliance issues resulting from people not informed that the policy was enacted (4) Our policies were a mess - outdated, decades old. The opportunity to have a person work on them arose due to an unexpected death - an urgent need to reshuffle work at the institution to cover the work that person did - combined with a dean close to retirement who was interested in both the work of the person who died (not a full-time role) and policies. She had the skill set for both roles so we put her into that role for 2 years and created a succession plan for that work. The policy piece moved to our HLC accreditation and compliance person when she retired - that allowed the two of them to work together for a smooth transition of the work. (5) Need for up to date policies; need to communicate and post most recent policies. This was identified as a need in a Strategic Plan for the University. (6)
Compliance (11)	Compliance concerns and many policies are required by statute.

Theme	Responses
12	Key motivational factors included: the need to quickly demonstrate compliance with multiple SACSCOC policies and standards by creating approved policies and procedures and archiving evidentiary documents. (1) Again, the need to get organized and establish an institutional compliance function. Organizing policies and procedures was a natural first step. (2) Compliance and engagement (3) Compliance/regulatory issues and incongruities among policies - The position was established around the time of preparing for our reaffirmation of accreditation (4) Need to better organize and management policy on campus. Need to ensure that we are meeting regional accreditation standards (Middle States) (5) The general counsel position was new. The policy administrator function became part of the duties of the general counsel. There was no need to add to head count or expense. (6) High degree of perceived risk at high levels of the organization; concerns about external funding - both were very strong drivers. (7) Remaining in compliance with all system regulations and state, local, federal laws (8) Compliance; Work load (9) Compliance (Clery Act violation/fine) and outward policy visibility/availability. The University was found to be in violation of the Clery Act. Thirteen new policy documents were created in a response to that issue and, in my opinion, was the reason why the policy development process and policy liaison role/administrator finally stuck. Secondly, having the ability to point to and reference a written policy (that was posted online in one location) that was drafted in accordance with a specific processes and then archived when superseded was also crucial to the continuation of the policy administrator portion of my job description. (10) Compliance, people did not know where to go or who to ask, many decisions made without understanding the policy and regulatory environment. RISK! (11)
Miscellaneous (10)	First it was a fulltime VP which was considered extravagant for our needs; then it was a part time position which couldn't be

Theme	Responses
	filled with the requisite skills; then it was tagged to a dean with the requisite skills (1) Risk Management (2) In our academic health care system, a policy department of the hospital system was seen as essential and it became obvious that a parallel coordinating function was needed within the University system (3) We did not create a policy administrator position. It is a function. (4) See prior responses. [a need for policies other institutions have] (5) Balancing of needs and resources (6) As noted earlier, it was added duties to the existing General Counsel position. (7) Our university has a culture of not pushing back on Trustee or System office requests. (8) Created because everyone saw the need (9) The way we do it now, which includes a policy committee chair, representatives from all divisions, and ex officio legal representative. No one got paid extra to add these duties to their regular workload. It was easy and inexpensive. (10)
Unsure (10)	Unsure (1) Was not here. (2) I'm not aware of all the factors. (3) I'm sure they created due to a need to have more robust policy development and management processes. (4) I believe the motivation came from a new president who had experience with the value of a position at prior institutions. The original title was "Director of Equity, Compliance and Risk Management." (5) Differentiation between President duties and a role that would be responsible for academic and student policies. (6) Not sure (7) I do not know. (8) Unknown (9)

Theme	Responses
	See prior responses. However, if you would like these answers, that individual (while retired) might be able to contribute. (10)