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Implications of Branding Initiatives in Higher Education Among Trademarked Institutions in California

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IMPLICATIONS OF BRANDING INITIATIVES IN HIGHER EDUCATION AMONG
TRADEMARKED INSTITUTIONS IN CALIFORNIA

A Dissertation Presented
to
The Faculty of the School of Education
Department of Leadership Studies
Organization and Leadership Program

In Partial Fulfillment
of the Requirements for the Degree
Doctor of Education

by
Joy Victoria Lamboy
San Francisco
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THE UNIVERSITY OF SAN FRANCISCO

Dissertation Abstract

Implications of Branding Initiatives in Higher Education Among Trademarked

Institutions in California

Many educational institutions across the world create an image to attract students; this process is called branding. Branding began as a channel of choice for consumers and has grown to include what an organziation respresents in worth and values. Corporations commonly implement branding initiatives through trademark-licensing programs due to competition and infringements that mocked their services or marks. Specifically, corporations across the world wanted to be unique from others that might have similar offerings. Likewise, many college institutions such as Harvard, University of California Los Angeles, and the University of Southern California have branded their identity through the use of trademarks. Due to the increased competition in higher education, branding has become more relevant in promoting an institution's reputation, as well as generating additional revenue for the institution through the sale of trademarked goods.

This study examined the ascribed importance and perceived impact of branding initiatives in higher education in California. The study specifically examined the perceptions of elements in 4-year college and university branding initiatives in California. In addition, the study validated the newly developed survey instrument through assessment of psychometric properties, particularly, internal consistency.

The study used a quantitative methodology approach by distributing a newly developed, online suvey, Perceptions of Branding in Higher Education. The survey was

given to individuals employed at colleges and universities in California who seek assistance with their branding initiatives by Strategic Marketing Affiliates, Collegiate Licensing Company, or Licensing Resource Group.

The data gathered from the survey lent significant insight into the benefits of trademark programs and branding. Through positively correlated statistical findings, the data showed that branding has many positive impacts on colleges and universities. Overall, trademark programs have had a substantial and positive impact on colleges and universities, ranging from campus identity and increased enrollment, to increasing college recognition. According to the professionals who responded to the survey, branding appears to beneficially impact higher educational institutions.

This dissertation, written under the direction of the candidate's dissertation committee and approved by the members of the committee, has been presented to and accepted by the Faculty of the School of Education in partial fulfillment of the requirements for the degree of Doctor of Education. The content and research methodologies presented in this work represent the work of the candidate alone.

Joy Victoria Lamboy	November 3, 2011
Candidate	Date

Dissertation Committee

Dr. Patricia Mitchell	November 3, 2011
Chairperson	Date

Dr. Betty Taylor	November 3, 2011
Committee Member	Date

Dr. Ellen Herda	November 3, 2011
Committee Member	Date

Dedication

This dissertation is dedicated to my family, specifically my parents and brother, Ron, Sandy, and Dominic Lamboy. When it was time to begin my dissertation, my true strength was tested. While I was faced with new obstacles and hardships, you continued to have confidence in me. Throughout my journey of smiles and tears you have managed to continue to support me and have faith in me, even in times when I have felt I lost faith. Words cannot explain how much unconditional love I have for you.

Throughout my life I have truly learned the strength of prayer and the meaning behind living a life uncommon and living in the moment. These two statements are what ultimately pushed me through this journey. In addition to the drive and dedication I found in completing this dissertation, I realized it was not only for me, but on behalf of those angels above who have contributed to who I am today. At times completing this process may have been a struggle, but they have never put me in a situation that they knew I could not handle. The guidance and inspiration they have provided me from the heavens above has been just as rewarding as when they were present. In loving memory of my Grandmother Victoria Brown, Uncle Robert Lamboy, and Uncle Alex Domdoma. This dissertation is also dedicated to you. I love you. May you continue to be the wisdom that guides me.

Last, but not least, this dissertation is dedicated to my son. May this be an inspiration to your future educational pursuits.

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I would like to express a heartfelt gratitude to my advisor and dissertation chairperson, Dr. Patricia Mitchell. The expertise and advice she has given me through this process, in addition to my professional life, has been remarkable. Dr. Mitchell's kind and composed words of support offered a genuine approach of encouragement. I also would like to thank Dr. Betty Taylor and Dr. Ellen Herda for serving as members on my dissertation committee. The three of you have provided me with the opportunity to make a contribution to knowledge and I thank you all for that.

To my mentors, Dr. Mark Robinson and Dr. Elizabeth Rockstroh, I am beyond appreciative for the additional guidance the two of you have given me throughout my academic, professional, and life journey. I would not have asked for the "tough love" and authentic advice any other way. You have been more of an inspiration than you might ever be aware of.

Lastly, I am grateful for the many people that have been a part of my life; past and present. Each and every one of you have either motivated or guided me to yet another accomplishment of my life. As I close one chapter of my life, only to continue on to the next, I am thankful for your help in making sure I am staying true to myself through it all.

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CHAPTER I

THE RESEARCH PROBLEM

Statement of the Problem

Many educational institutions across the world create an image to attract students;

this process is called branding. According to Wolpert (1999), branding began a thousand

years ago "when artisans and tradesmen started putting identifying marks on their

products—both as a point of pride and as a sign of quality" (p. 2). The trend of branding

continues today and has expanded to increase the awareness of services and to mark

ownership through licensing. Modern licensing is defined as a "form of marketing and

brand extension available to companies, organization and institutions … by granting the

right to use a trademark" (Revoyr, 1995, p. 1). When vendors are granted permission to

use a company's trademark through the company's Trademark Licensing Program, the

vendors are promising to accurately introduce the company's services to the marketplace,

while also promising to pay a royalty fee to the company to use their trademark.

> The basic purposes of brand identity are still the same: (1) to make it easier for
> consumers to identify and remember a particular product, and (2) to strengthen
> the association of a product with one or more attributes of quality. (Wolpert,
> 1999, p. 2)

For example,

> A black T-shirt with a brand name on it is more than just clothing. A person
> wearing a black T-shirt without any brand name is simply wearing that. But when
> the T-shirt has a brand name, the wearer gets noticed, and perception about him
> changes. Additionally, a T-shirt with the brand name Gucci or Nike on it makes
> the wearer feel special in some way, even if others may not see it that way.
> (Dvorak, 2010, p. 15)

> Corporations are one of the most common entities that implement branding

initiatives through trademark-licensing programs simply due to the competition and

infringements that mocked their services and/or marks. Specifically, corporations across the world wanted to be unique from others that might have similar offerings. "A company can license its own name, or corporate logo, or the name of one of its brands" (Revoyr, 1995, p. 27) in an effort to capitalize on their reputation to an intended audience.

Likewise, many college institutions such as Harvard, University of California Los Angeles, and the University of Southern California have branded their identity through the use of trademarks: "any word, name, symbol, or device (or combination thereof) that identifies and distinguishes the source of the goods of one party from those of another" (United States Patent and Trademark Office, 2001, p. 6). Due to the increased competition in higher education, branding has become more relevant in promoting an institution's reputation, as well as generating additional revenue for the institution through the sale of trademarked goods.

As Herr (2001) explained, "In today's higher education landscape, college and university leaders may well consider principles of brand management to assure their positions vis-à-vis their competitors" (p. 23). This is also evident through the widespread use of trademarks to market and promote an institution to the public. Moore (2004) stated "Differentiating an institution depends on recognizing the core attributes of the category in which you operate, plus what makes you different from others in the category" (p. 59), and, "differentiation is the key to an insitution's carving out its own niche in the marketplace" (p. 60).

"For a college or university, the name and all the symbolism attached to it, either through longevity, reputation, quality, or some other factor, represent its brand"

(Rosenthal, 2003, p. 25). Branding institutions in higher education provide the

community, and more importantly, prospective students of an institution, an easier way to

identify and distinguish them from other schools. Wolpert (1999) described the

importance of branding as

> reducing the level of effort a consumer must put into assuring a specific, desired
> level of quality, reducing the perceived risk of making a costly mistake, and,
> providing a certain psychological reward to the consumer such as prestige or
> status. (Wolpert, 1999, p. 2)

As students search for a school, many are drawn to those in which they want to

become a member of the community and alumni base affiliated with the institution. The

physical elements become intriguing and desirable benefits ultimately attracting students

toward a certain "type" of institution. Moore (2004) explained, "Across the continent,

the Harvard brand has long communicated preeminence in higher education. … The

brand has a staying power and impact that are inarguable" (p. 58). Harvard has

advertised extensively for people across the world to recognize its brand as representing

academic excellence in higher education. Chapleo (2006) further explained,

> Branding "makes the consumer's choice process more effective" and this alone
> could be argued to offer a rationale for brandings' applicability to higher
> education … ideally consumers choose to have a relationship with a brand if they
> trust it will deliver specific promises. (Doyle, 1989, as cited in Gathungu &
> Karoki, 2010)

Branding also provides students a sense of pride and belonging to an institution.

Branding in higher education gives institutions an identity that locates them in the

social world. Further, branding gives community members the ability to recognize an

institution through a logo. Although branding goes beyond recognition, students may

like to see themselves in that institution and to associate themselves with a history of

excellence.

Background and Need for the Study

Imagine the following: A University of Oregon home football game versus University of California Los Angeles; the stands are packed with the school colors, green and yellow, and images of the home team's school mascot, a duck, while a relatively small section of the audience are displaying blue and gold—the colors of the opposing team. Nearly everyone in the audience, representing all ages, show their support and spirit for the institution of which they are a part through their appearance. Scanning across the stands are representations of the University of Oregon and University of California, Los Angeles. That is the essence of branding.

Lockwood and Hadd (2008) offered another illustration of branding:

> Many Ivy League schools have graduation rates as high as 98%, and students will remain even though the student experience may be better at less expensive public institutions with much lower graduation rates. This dynamic is a result of the power of branding. (p. 4)

The above example exemplifies the impact that a brand of an institution can markedly impact faculty, staff, students, alumni, and the community. In addition, the example presented can be found on many college and university campuses. The display of school spirit through trademark logos and school colors is a clear representation that the audiences identify and support the institution through their school spirit. In addition, the students express their interest by participating in the campus event.

For purposes of this study, "A brand is a name and/or mark intended to identify the product of one seller or group of sellers and to differentiate the product from competing products" (Etzel, Walker, & Stanton, 2006, p. 258). In addition, branding is defined as "part of the promotional aspect of marketing and is extremely important to the image, reputation, and success of a product or company" (Rosenthal, 2003, p. 8).

Although the study of branding in higher education has not been explored widely, the topic of branding itself has been around for many years. Further, it should be noted that although branding a product may not be directly equivalent to branding in education, the research could provide information that would be helpful for educational institutions to follow, with or without modifications to businesses.

Aforementioned, although "branding began sometime around 1500 B.C., when the ancient Greeks marked their cattle, … however, branding initiatives relevant to an institutional enterprise began in 1931" (Muntean, Cabulea, & Danuletiu, 2009, p. 1066). Clifton et al. (2009) believed "it was of course by burning that early man stamped ownership on his livestock, and with the development of trade buyers would use brands as a means of distinguishing between the cattle of one farmer and another" (p. 14). Since the times of ancient Rome, people have used stamps on products to differeintiate between brands of different regions in the world.

Throughout the subsequent centuries, the concept of branding only flourished minimally. However, in the 17th century, when royalty increased the use of brands, the practice of branding began to expand. The industrial revolution introduced the mass marketing of consumer products, initiating a variety of brands extant today.

> Many of today's best-known consumer brands date from this period: Singer sewing-machines, Coca-Cola soft drinks, Bass beer, Quaker oats, Cook's tours, Sunlight soap, Shredded Weat breakfast cereal, Kodak film, American Express travellers' cheques, Heinz baked beans and Prudential Insurance are just a few examples. (Clifton et al., 2009, p. 15)

Branding began as a channel of choice for consumers and has grown to include what an organization respresents in worth and values.

Today, often a brand is created in order for the consumer base to distinguish products and/or services from other similar entities, while also ensuring dependable quality. In other words, brands aid organizations to be recognized by society particularly through all types of advertising. "It is not only one of the first points of contact between a company and its customers, branding is also designated to create associations that help the customer positively remember the company or its product" (Rosenthal, 2003, p. 8). Etzel et al. (2006) explained, "The reputation of a brand also influences customer loyalty among buyers of services as well as business and consumer goods" (p. 259). If a brand is favorably recognized, customers are likely to strengthen the longevity and prominence of products and/or services by showing their dedication. Wunderman (1996) believes that customers not only have to be familiar with a specific brand, but they have to have emotion that the brand will benefit their individual needs "from packaging to point of purchase, repurchase, and after sale service and communications" (p. 27).

This phenomenon continues to become more relevant in (1) organizaitons and other entities, as well as, (2) educational institutions, specifically 4-year colleges and universities (see Figure 1). Heeger (2005) stated, "brand has returned as an important differentiator in the higher education mass market that the for-profits helped to create" (p. 50). Rosenthal (2003) instructed

> The need to market higher education was becoming apparent for a number of reasons by 1984. Declining national enrollments put institutions of higher education on notice that they needed to apply a more business-like, formal planning process to respond to both changing market condictions and a new marketing mindset among stakeholders. (p. 6)

Figure 1: Branding in relation to corporations and 4-year colleges and universities.

Dr. Black (2008), President and CEO of SEM Works, explained that branding corporations has unquestionable parallels to implementing branding in higher education. "Much of the branding work in higher education has been in peripheral areas, such as assessing Pantone colors in logos, creating and disseminating marketing materials, or selling licensed merchandise" (Lockwood & Hadd, 2008, p. 4). Similar to corporations, higher education institutions serve diverse audiences and there is a price behind the edcuational experience:

institutional vitality is highly dependent upon the revenue generated from student enrollments; they have competitors; compete on price, quality, service, and reputation; their image is largely determined by the constituents we serve; and their image of our institutions is inflduenced by their interactions with us. (Black, 2008, p. 2)

Rosenthal (2003) indicated that branding is particularly important to higher education, "as there is a high degree of overlap among competitors' offerings, with comparable pricing among categories of institutions. The brand itself is therefore particularly important to successfully marketing an academic institution" (p. 9). Higher education is comparable to businesses and would benefit if viewed from a corporate lens in order to focus on the unique attribute an instituion provides, while potentially increasing the interest of prospective students and enrollment. "Think of a college or university brand as being synonymous with the institution's personality—congruent with its mission, defined by its values" (Black, 2008, p. 2). Similarly to corporations, it is important for higher education institutions, like corporations, to emphasize their matchless elements to the greater community.

At the moment, there are thousands of educational institutions, specifically in 2008–2009, 6,632 postsecondary Title IV institutions, including community colleges, grant students degrees in thousands of academic programs (U.S. Department of Education, National Center for Education Statistics, 2011): "increasing numbers of institutions recognize the financial benefits of educational entrepreneurialism" (Heeger, 2005, p. 53). For example, "New York University's School of Continuing and Professional Studies … generates the largest pool of unrestricted funds for the university each year" (p. 53). This creates a precedence for other higher education institutions to increase and/or implement branding initiatives in order to deliver a core message to

customers that distinguishes them from other educational institutions offering similar, if the not the same academic programs.

Although the presented implications of brand initiatives, including, but not limited to, the identity and community development, appear to be beneficial, there are also moral and ethical considerations that need to be accounted for by corporations and institutions that rely on branding in order to assist in the success of their product and or service. Fan (2005) explained, "Ethics refers to moral rules or principles of behaviour for deciding what is right or wrong" (p. 342). Pride and Ferrell (2003) defined brand equity as being "the marketing and financial value associated with a brand's strength in the market, including actual proprietary brand assets, brand name awareness, brand loyalty, perceived brand quality, and brand associations" (p. 299). Fan argued that the principles of ethics are difficult to define for the following reasons: "It is often diffcult to distinguish between ethics and legality and ethical values vary between individuals and organisations, and beteween different cultures; and they are changing over time" (p. 342). Accordingly, even though ethics is an important factor when discussing branding, the topic is also a complicated subject matter for the above reasons. Further, even though there is research in the area of ethical business, there is limited research on marketing and/or branding ethics in addition to the role ethics plays in higher education branding.

Although the promotion of branding assists in innovative ways to promote the development of a product or service, the contribution is equally as important as recognizing that branding goes beyond the promotion. Branding essentially holds corporations and institutions, such as higher education institutions, accountable for the

worth of the product or service they offer. Branding is the intangible feature an

organization or institution upholds and delivers. Clifton et al. (2009) stated,

> Given the direct link between brand value and both sales and price, the potential
> costs of behaving unethically far outweigh any benefits, and outweigh the
> monitoring costs associated with an ethical business. A number of high-profile
> brands have been accused of unethical practicies. Interestingly, among these are
> some of the brands that have been pioneering the use of volunteering codes of
> conduct and internal monitoring systesms. (p. 33)

The implementation of brands holds companies responsible for the significance

behind the underlying message being communicated to the outside community. Brands

are typically created to positively speak on behalf of a company through an image or

message. Yet, the information that is being presented does not always amount to how a

company is actually performing, and can in turn damage a companies reputation. For

example, "firms such as Shell with its environmental policies, and Nike with its overseas

sourcing policies, have shown how ethical problems can seriously tarnish the brand

image and hinder sales" (Crane, 2001, p. 361). These are just two examples of how a

brand image can affect a company as a whole, in addition, to illustrating the impact a

brand has on consumers.

Pinar, Trapp, Girard, and Boyt (2011) believed "the brand's identity provides the

DNA for the entire ecosystem, and ultimately brand equity" (p. 726). Each part of the

network within an organization needs to be fully understood and managed in order to

create a potential impact on the strength of a brand. Pinar et al. continueds by stating,

"An effective brand ecosystem has the potential to not only differentiate a product/service

experience in a meaningful way for the customer, but also to create a strong brand equity

for the producer" (p. 726).

Further, Crane (2001) believed ethical standards also need to be considered with the specific marketing campaigns that are displayed across the world, stating, "campaigns can misrepresent the product, or otherwise misinform the consumer, leading to negative ethical attributions" (p. 365). Not only is considering ethics important for an orgnaization to be true to the respective services offered, but organizations also need to closely study the content presented in messages they are sending via the various marketing stategies they use. Moogan (2010) explained,

> marketers should make sure that they provide accurate information in the first instance and that student expectations are not inflated as a consquence. Providing relevant information sources so that students can make the best possible decision for them is crucial. (p. 574–575)

Although there is potential for a negative interpretation of all brands, the intangible elements and content that is displayed can be misconstrued by the general population to make an organization look unsuccessful. Nevertheless, ethical branding is a complex topic that needs to be considered in the context of this study.

The result of this study could have significant implications regarding how colleges and universities view branding initiatives. In addition, as Waeraas and Solbakk (2009) stated, "To our knowledge, no one has adopted an internal focus by investigating exactly how branding efforts unfold in specific cases and what happens in the course of these processes" (p. 450). Although there is limited research in the area of branding in higher education, the authors also believed that the topic should be researched further in order to define the "university brand." The authors stated, "Despite the growing importance of branding in academia, literature searches reveal very few papers that specifically address higher education branding" (p. 252).

Through the research, if the results can support the importance of branding, the findings can possibly be applied to higher education institutions across the nation. Due to the limited research on branding in higher education, the implications of the study could overall benefit all higher education institutions. Examining the effects of branding within the higher education sector may allow institutions the ability to determine whether branding can be effective in respective areas such as recruitment and enrollment, funding, merchandise, student involvement, and academic reputation.

Purpose of the Study

The purpose of this study was to examine the ascribed importance and perceived impact of branding initiatives in higher education in California. This study intended to specifically examine the perceptions of elements within 4-year college and university branding initiatives in California. In addition, the study validated the created instrument through assessment of the psychometric properties, specifically, internal consistency, a measure of reliability of the scales used in the study.

Research Questions

Based on the perceptions of professionals within the trademark-licensing field, responses to the following research questions are addressed:

- What is the relationship between branding efforts and campus identity?
- What is the relationship between branding efforts and institution enrollment?
- What is the perceived impact of branding among college personnel who participate in their institution's trademark-licensing program?
- What is the perceived importance of branding among college personnel who participate in their institution's trademark-licensing program?

Theoretical Framework

The theoretical rationale for this study was primarily based on organizational cultural theory. Organizational cultural theory is "the culture that exists in an organization, something akin to a societal culture. This theory is composed of many intangible phenomena, such as values, beliefs, assumptions, perceptions, behavioral norms, artifacts, and patterns of behavior" (Shafritz, Ott, & Jang, 2005, p. 352). Although the works of organizational cultural theory have been around as early as the 1950s, the term did not fully emerge until approximately 1981.

According to D. Collins (2009), an organization should be concerned with how it relates to the national culture. Cultural relativism seeks to balance the need for doing the greatest good for the most people and maintaining individual rights (D. Collins, 2009). Shafritz et al. (2005) provided the following example:

> From the organizational culture perspective, AT&T's basic problems following deregulation and court-ordered splintering of the Bell system were not in its structure, information systems, or people. Rather, it was an organizational culture that no longer was appropriate for AT&T's deregulated world. The longstanding AT&T culture had been centered on assumptions about (1) the value of technical superiority, (2) AT&T's possession of technical superiority, and thus (3) AT&T's rightful dominance in the telephone and telecommunications market. Therefore, working to improve such things as AT&T's goals, structure, differentiation and integration processes, strategic plans, and information systems could not solve AT&T's monumental problems. The solution required changing an ingrained organizational culture—changing basic unconscious assumptions about what was required to be successful in a competitive telecommunications market. (p. 354)

Similarly, one can relate this to the culture that has developed in higher education. In the same way AT&T required internal reorganization in order to succeed, organizational cultural development of universities and colleges can be beneficial to the competition presented in higher education and the overall needs of the student population.

"When we talk about culture we are usually referring to the pattern of development reflected in a society's system of knowledge, ideology, values, laws, and day-to-day ritual" (Morgan, 2006, p. 116). Organizations face the challenge of branding themselves, while maintaining the cultural framework of the organization and the need to position themselves in the modern world. Edgar and Sedgwick (2002) stated, "The practice of cultural theory implies the elucidation and explanation of cultural forms according to criteria afforded by some schema or other" (p. 2).

Culture shifts meaning from focus on individuals of the organization to the groups of the organization, while contributing to the next level of understanding of organizations' functions and reputation. The individual of an organization becomes engrained in an established means of accomplishing goals. In addition, culture is enforced throughout socialization. "When we observe a culture, whether in an organization or in society at large, we are observing an evolved form of social practice that has been influenced by many complex interactions between people, events, situations, actions, and general circumstances" (Morgan, 2006, p. 146). Disney is an example of a company that is acknowledged for the implementation of strategies of building and advancing its culture (Capodagli & Jackson, 1999; Grover, 1997; Peters & Waterman, 1982). Disney is one of the world's most exclusive brands, recognizable by children and adults. Their brand has always been acknowledged as "a happy place, and their creations, especially Mickey Mouse, reflected unflagging good cheer and intense resourcefulness" (Dvorak, 2010, p. 133).

Figure 2 displays a representation of how Disney is driven by cultural theory in addition to the branding initiatives the company has implemented to acquaint the greater

community, while creating an identity of the organization for all to remember. "Disney brands stand for bringers of joy and affirmers of good in all of us" (Dvorak, 2010, p. 37). They attempted to implement select qualities within their organization, "while concretizing them in such a way that will be obvious to anyone who encounters the culture" (Caruso, 2000, p. 16).

CULTURAL THEORY

BRANDING

Figure 2: An example of cultural theory, using Disney's Mickey Mouse, in relation to branding.

When looking at organizations, to understand the culture one must look at assumptions, values, and artifacts of their practices. These three factors display the "hidden, yet unifying theme that provides meaning, direction, and mobilization" (Shafritz et al., 2005, p. 352) of an organization. Shafritz et al. (2005) explained, "Culture is to the organization what personality is to the individual" (p. 252). The theory of culture is significant to the study of branding because the theory directly relates to the value and personalization of services provided by institutions. Understanding the culture of organizations gives explanation to the depth of how an organization operates. Culture reflects the organization's function, whereas the parts of the organization adapt to the culture of the general organization. Culture can vary from organization to organization, but has a marked impact on the surrounding environment. Dvorak (2010) believed, "your brand is an expression of your qualities, skills, and work culture" (p. 25). Ultimately, culture shapes the character of an organization and the thinking of the members involved. Having an understanding of a culture can aid in the delivery of a brand that resonates in that culture of the organization.

Significance

The results of this study serve as the groundwork to additional research being conducted in the area of branding initiatives specifically in higher education while the researcher provides detailed recommendations for additional research in Chapter V. With The branding phenomena is becoming increasingly more recognized in corporations, and its debut in educational institutions is also becoming more prevalent. This study provides essential information for institutions to consider in terms of the implications the trend has to offer. Additionally, the findings from this study, which examine the importance and

effects of branding identity in higher education, promise to be significant for several reasons.

First, findings about the effects of branding in higher education have informed efforts to implement branding initiatives in higher education institutions. Personnel and the development of higher education institutions' strategic plans are accountable for the overall success of an institution, including the development of successful marketing strategies in order for the school to be recognized by potential students and the community. The findings from this study regarding the impact of branding have the potential to ultimately enhance an institution's existing identity in the social world. As a result, the outcomes from this study provide critical information in regards to the importance of institutional uniqueness. Further, findings from this study indicate a significant link between the distinction provided institutions by branding, and an understanding of the consequences the distinctiveness provides institutions, which all arise from executing trademark-licensing programs.

Another implication is associated with potentially improved recruitment and enrollment, funding, merchandising, student involvement, and academic reputation. Through a quantitative approach, the relationship of branding initiatives contributing to the impact of an institution is distinguished. For institutions implementing branding initiatives for the first time, revamping their current brand initiatives, or simply expanding their existing brand initiatives, the study reinforced the value and worth of executing such a program. Additionally, the study depicts the importance behind sustaining the implemented brand in order to enhance the overall success of an institution.

This study furthers educational research in the areas of education and business development in education. With limited research in the area of branding in education, the researcher refers to the implications brand identity has had on corporations. The insights gained from this area of branding can provide a lens for education to either follow directly when understanding the effects of branding, or to modify. Having a clear perception of how branding may significantly impact institutions can serve as a resource for further development in higher education.

Definitions of Terms

In order to provide a common definition for terms that may be interpreted in more ways than one, this section provides particular definitions specific to this study.

- *Brand.* "A trademark or a distinctive name identifying or representing a product or a service. It is a symbolic embodiment of every aspect of a product or service" (Dvorak, 2010, p. 10).

- *Branding.* The marketing of a product or service that clearly makes a distinction from others (Etzel et al., 2006, p. 259). "Branding is part of the promotional aspect of marketing and is extremely important to the image, reputation, and success of a product or company" (Rosenthal, 2003, p. 8).

- *Community college.*

  An institution that is accredited (or undergoing accreditation) by one of the six regional accrediting bodies and primarily offers the associate degree as the highest degree. A community college may also be a campus that offers the associate degree as the highest award but is part of a regionally accredited, bachelor's degree-granting institution (American Association of Community Colleges, 2007, p. vii).

- *Covenant.* "A collection of promises presented to the outside world concerning the brand's benefits" (Bennett & Ali-Choudhury, 2009, p. 87).

- *Licensing.* A "form of marketing and brand extension available to companies, organizations and institutions … by granting the right to use a trademark" (Revoyr, 1995, p. 1).

- *Licensing programs/trademark-licensing programs.* "A form of marking and brand extension available to companies, organizations, and institutions" (Revoyr, 1995, p. 1). These programs are implemented for "organizing, managing, and protecting property rights and licensing revenues" (Revoyr, 1995, p. 1) of an organization.

- *Patent.*

  Protects a creation of a product or process that is new. … It is some word or symbol that is used to represent a company or a product and it gives its owner exclusive right to its use for at least ten years. (Revoyr, 1995, p. 15)

- *Quiddity.* The "set of distinctive features that define the brand's inherent nature and reality" (Bennett & Ali-Choudhury, 2009, p. 87).

- *Symbolic representation.* The "assortment of aesthetic designations and external communications that describe the brand" (Bennett & Ali-Choudhury, 2009, p. 87).

- *Trademark(s).* "The name, brand, logo or symbol that is used by and represents the organization or institution" (Revoyr, 1995, p. 13).

Delimitations

This study is delimited to examining the perceptions of professionals at colleges and universities in California. A delimitation of a study "clarifies the boundaries … to indicate to the reader how you narrowed your study's scope" (Roberts, 2004, p. 128). Additionally, the study only includes those institutions that have implemented branding initiatives, which was determined through the institutions' use of outside agencies that specialize in assisting institutions' implementation of trademark programs. These institutions are receiving assistance from either Collegiate Licensing Company (CLC), Strategic Marketing Affiliates (SMA), or Licensing Resource Group (LRG). Consequently, the study's results cannot provide a generalization to other geographic areas that do not use one of the above agencies or are outside of California. In addition, the conclusions that are depicted and result from this study are limited to professionals within the field.

Limitations

The limitations of the study also affect the ability to generalize the findings. A limitation cannot be controlled by the researcher and could affect the study negatively (Roberts, 2004, p. 146). A major limitation of this study is the small sample size. There were 25 colleges/universities in California that were contacted, and 23 of them agreed to participate in the study. More specifically, the study cannot be generalized to institutions that are not involved with the companies SMA, CLC, or LRG that assist with brand implementation and initiatives.

Another limitation of the study was the availability and willingness of the participants to complete the survey for the researcher. In view of that, the source of

information used may have affected generalization by being incomplete and the limited

time for some professionals may have had an influence on the participation rate.

Further, the study cannot be generalized to the general college-personnel

population. The researcher used individuals who were directly involved with their

campus' branding program. Personnel working in other departments were not recruited

to participate in the study.

In addition, another limitation of the study is that the developed instrument is still

in the pilot phase. There is minimal knowledge regarding the reliability and validity of

the instrument. However, the second part of the study partially addressed this issue by

assessing its content validity and internal consistency. Other validity and reliability

measures, including construct validity and test–retest reliability, need to be collected.

Lastly, the researcher, being a former Trademark Licensing Program manager at a

community college could have provided a possible bias in the study. Specifically,

prejudgments when collecting and analyzing data could have presented an additional

limitation to the current study. In contrast, the researcher had an awareness of this

possible limitation and considered them when the findings of the study were reported.

<div align="center">Summary</div>

Chapter I includes (a) the statement of the problem, (b) background and the need

for the study, (c) the purpose of the study, (d) the research questions, (e) the theoretical

framework used in the study, (f) the significance of the study, (g) definitions of terms in

the research, (h) delimitations, and (i) limitations. The statement of the problem

emphasized the current trend and importance of brand awareness in higher education,

specifically 4-year colleges and universities. However, as the background and need for

the study depicted, there is limited research on the implications branding initiatives may

have on institutions of higher education. As a result, the purpose of the study explains

that the information may benefit other professionals in the field of higher education.

Lastly, the research questions and theoretical framework guide the overall study.

Subsequent to Chapter I, a review of the literature (Chapter II), methodology (Chapter

III), findings, including internal consistency (Chapter IV), and conclusions follow,

including discussion of findings, implications, and recommendations for future research

(Chapter V).

CHAPTER II

REVIEW OF THE LITERATURE

Overview

The literature review critically examines previous empirical research that discusses the topic and demonstrates the importance of the research. As Creswell (2008) suggested, the review of the literature exposes a gap in knowledge for the audience (p. 89). More specifically for this study, the review of literature describes branding initiatives in businesses and higher education in order to provide a clearer justification as to the importance of branding in increasing an organization's or institution's reputation. Although there is limited research on branding in higher education, the researcher provided the literature review to add value through insights and comparisons that are not otherwise available from previous research. Specifically, literature regarding branding and the affects it can potentially have on an organization can have similar implications in higher education. With an inadequate amount of research on branding in higher education, the researcher explores branding primarily in businesses. Even if the business aspect of branding may not be completely parallel to the issues in education, the researcher believes it may be used as a model that higher education can use to determine the effects branding may have.

In addition, the literature review depicts additional theories that drive the study. The following topics helped the researcher organize literature obtained on higher education at the 2- and 4-four year institutions: Theories relevant to the major research questions are customer-based brand-equity theory (CBBE) and cognitive- psychology

theory. Current literature empirical studies are *branding/trademark licensing; identity and culture; enrollment; and planning, budgeting, and revenue.*

<div align="center">Theories Relevant to the Major Research Questions</div>

The Customer-Based Brand Equity (CBBE) Theory, developed by Keller (n.d.), is a tool that provides users with direction in building a brand. CBBE "is built on the premise that the power of a brand is based on what customers experienced, heard and learnt about a brand over time" (Keller, n.d.). Keller believed people make a decision to use a brand depending on the reputation associated with that brand/company/organization. Consequently, if a brand is a popular product or service, CBBE is presented in a positive light. "Knowledge about a brand is therefore key to creating brand equity" (Keller, n.d.).

CBBE is presented in a pyramid model containing four steps, including the following:

1. Creating the identity of the brand

2. Having an understanding about the brand

3. Creating consumer response

4. Creating a strong relationship between the brand and the customer

Keller (1993) explained in *Conceptualizing, Measuring, and Managing Customer-Based Brand Equity*, "Customer-based brand equity occurs when the consumer is familiar with the brand and holds some favorable, strong, and unique brand associations in memory" (p. 1). According to Keller, the two incentives of customer-based brand equity are financial and marketing productivity. The financial aspect of the theory estimates the value of the brand, whereas marketing productivity focuses on the efficiency of the

product or company. Both incentives are relevant to the present study. Specifically, CBBE was selected for this study to give the researcher and audience of the study structure in developing a brand identity to increase awareness, recognition, and revenue in the community-college sector of education.

In addition, Herr (2001) believed cognitive psychology is at the core of brand-management strategy (p. 24). Cognitive-psychology theory "addresses the areas of human memory, and the processes by which information is internalized and used by individuals to make sense of their surroundings" (Herr, 2001, p. 24). This information, whether appreciated or devalued, is "stored in their memory in a form that can be retrieved, manipulated, and otherwise used, and that is organized in meaningful patterns" (Herr, 2001, p. 24). For example, when individuals think about Disney, one of the many images that might surface is Mickey Mouse or one of the other popular Disney characters. There is a clear relationship between the organization and the image that surfaces at the thought of the company. If people are able to link specific attributes to a brand, based on cognitive-psychology theory, they will ultimately be able to differentiate it from others. Cognitive psychology theory's relevancy to the study is to identify the effects branding has on identity and enrollment in higher education.

Ultimately, the four steps CBBE Theory identifies provide the audience with guidance in developing brands. In contrast to CBBE, cognitive-psychology theory specifically addresses the area of the human memory, along with the methods by which information is stored. The use of the two theories in conjunction assist the audience in developing brand identity, while discovering the effects branding can have on the community in higher education.

Current Literature

Branding/Trademark Licensing

Although there is limited research on the topic of branding, specifically in higher

education, the concept itself became more popular during the 1980s. "Globally ambitious

universities are constructing 'brands,' a term borrowed from consumer economics"

(Rothblatt, 2008, p. 28). Although "one of the larger problems facing higher education in

the face of rapid change is optimally balancing positioning among various constituents

(Muntean et al., 2009, p. 1067), in time, "one industry after another has discovered that

brand awareness, perceived quality, customer loyalty, and strong brand associations and

personality are necessary to compete in the marketplace" (Aaker, 2002, ix). There are

many organizations that are still discovering branding, while others are realizing they

need to recreate their branding initiatives to maintain an edge on other organizations in an

"ever-changing competitive scene" (Aaker, 2002, ix). Creating and maintaining an

organization's brand identity aids in distributing identity, and more specifically the

organization's appeal to society and those involved in the organization. For purposes of

this study, branding is defined as the marketing of a product of service that clearly makes

distinguishes it from others (Etzel et al., 2006, p. 259).

Branding institutions in higher education provide the community, and more

importantly, prospective students of an institution, an easier way to identify and

distinguish them from other schools. Wolpert (1999) described the importance of

branding as

> reducing the level of effort a consumer must put into assuring a specific, desired
> level of quality, reducing the perceived risk of making a costly mistake, and,
> providing a certain psychological reward to the consumer such as prestige or
> status. (p. 3)

As students search for a school, many are drawn to those where they want to become a member of the community and alumni base that is affiliated with that institution. People are paying attention to physical elements, such as campus location or school colors, and/or the prestige of the institution, which become intriguing and desirable benefits, ultimately attracting students toward a certain "type" of institution. For example, Moore (2004) explained "Across the continent, the Harvard brand has long communicated preeminence in higher education. … The brand has a staying power and impact that are inarguable" (p. 58). Harvard has penetrated its brand for people across the world to recognize its academic excellence in higher education. Chapleo (2006) further explained, that Harvard Business School is "an example of a strong brand in education, however, arguing that it is strong because customers know exactly what it stands for and has a clear position in consumer's minds" (p. 26). A branded institution can decrease the time a prospective student may spend in researching the school they want to attend.

> Branding "makes the consumer's choice process more effective" and this alone could be argued to offer a rationale for brandings' applicability to higher education … ideally consumers choose to have a relationship with a brand if they trust it will deliver specific promises. (Doyle, 1989, as cited in Gathungu & Karoki, 2010, p. 7)

Also, students gain a sense of pride in belonging to an institution.

Branding in higher education gives institutions an identity that locates them in the social world. Branding gives community members the ability to recognize an institution through a logo (trademark). Although branding goes beyond recognition, students like to see themselves in that institution and to associate themselves with a history of excellence.

Although branding may appear beneficial to higher education,

upward movement requires adept leadership with terrific cooperation from all other groups in the academic community, a willingness to restructure internally, strong working relations with outside business and governmental groups, [and] a capacity to rise above internal rivalries to gain a sense of the common good. (Rothblatt, 2008, p. 29)

The execution of branding initiatives is not a simple project. Branding requires all contingents to work together, while maintaining positive relationships with other corporations. Without this, the branding effects may not reach their full potential for an organization.

Identity and Culture

As a pair of facilitators entered a North Carolina middle school, three 7th graders met them at the door. "What are you doing here?" one student asked. "We're looking for the best middle school in North Carolina," a facilitator answered. "You found it!" the student exclaimed, and the others heartily agreed. This chance encounter provided the facilitators just one of many clues in assessing the school's culture. (Wagner & Masden-Copas, 2002, p. 42)

Wagner (2004) did not define school culture as demographics of the student population; instead culture was defined as "how people treat each other, how they value one another; and how they work and get along together in both a professional and personal sense" (p. 12). "School culture is the shared experiences both in school and out of school (traditions and celebrations) that create a sense of community, family, and team membership" (Wagner, 2006, p. 41). The characteristics of institutions present an identity that ultimately attracts students and provide a common interest among many. Peterson (2002) also believed that school culture is the "set of norms, values and beliefs, rituals and ceremonies, symbols and stories that make up the 'persona' of the school" (p. 10). Accordingly, every school presents its own identity that separates itself from the majority (Wagner, 2004, p. 12).

The unique attributes an institution presents to the outside community can ultimately have an influence on how one feels about the institution. Students may not remember everything they learned at an institution, but they will remember the atmosphere and impression the school had on them. As a result, Wagner (2004) expressed that many educators have come to the realization of the importance of having and maintaining a good school culture to avoid limiting a school's innovation (p. 11). This is a clear indication that institutions should look at their school identity as a priority and be conscious of how persona/identity/character may affect the community involved with the institution.

The identity of institutions resonates with branding in higher education. Although branding is recognized primarily with colleges and universities, there is still limited research regarding the effects branding may have on institutions. In Waeraas and Solbakk's (2009) article, "Defining the Essence of a University: Lessons From Higher Education Branding," they explained that "in order to achieve a uniform expression of the organization's identity, the organization must not only strive for a consistent *definition* of its identity, it should also *have* a consistent, single identity" (p. 451). In addition, emphasizing the distinctiveness of a school, whether in colleges and universities or in the community-college sector, could increase the desire of prospective students to register and enroll at a specific location. Ultimately, cultural implications of being part of a recognized brand influences consumers to decide whether they want to be part of that particular brand.

Enrollment

With the development of the identity of an institution comes increased recognition as well. The culture in higher education can directly relate to the enrollment at an institution, in addition to student involvement. In the *Gallup Management Journal*, Lockwood and Hadd (2008) depicted the importance of students feeling a sense of belonging to the known community, which has an effect on a student's preference on whether to continue to be associated with the institution. For instance, students who feel as if they are part of the institution they are attending might be further inclined to remain and graduate from the school and become more involved with school activities while a current student. Once students graduate, they may continue to be involved and become donors as alumni. A student feeling they belong at an institution is the center point of the interactions and the relationships they build and pass on to the greater community. Consequently, students play a significant role in conveying an institutions brand promise (p. 5).

One of the reasons branding in Britain has become more popular in higher education is due to the government's demand to increase enrollment (Bennett & Ali-Choudhury, 2009; Binsardi & Ekwulugo, 2003; Ivy, 2001), which creates increased competition between institutions. In the study, "Prospective Students' Perceptions of University Brands: An Empirical Study," Bennett and Ali-Choudhury (2009) focused their research on the brand of an institution as the following: (a) covenant: "a collection of promises presented to the outside world concerning the brand's benefits"; (b) quiddity: "a set of distinctive features that define the brand's inherent nature and reality"'; and (c) symbolic representation: "an assortment of aesthetic designations and external

communications that describe the brand" (p. 87). According to this study, Bennett and Ali-Choudhury concluded covenant as a vital feature an institution can provide. Quiddity ranked the second highest of importance to prospective students of an institution; "The greatest influences on quiddity were practicability, educational identity, and physical actualities" (p. 96). Additionally, although participants were not interested in the mission and vision, they did show "favorable opinions of a university's brand translated into very positive affective, reputational, and conative consequences, suggesting that resources allocated to brand building are worthwhile" (p. 97).

Chang (2002) explored the value of student involvement in the community-college sector. Specifically, Chang studied the lack of participation by students at a community college in regard to student involvement in extracurricular activities, such as campus organizations and/or events, compared to student involvement in 4-year institutions. Chang also explained, "student development and learning are dependent on how involved or invested a student is in his/her environment" (p. 3). Although community colleges have become a major provider of public higher education (Miller, Pope, & Steinmann, 2005, p. 596), their repertoire is only increasing. More students are completing their core courses at a community college, whereas students from 4-year institutions are transferring to community colleges with the same intentions (Miller et al., 2005). However, the research on community-college student involvement is still limited (Miller et al., 2005, p. 601) compared to research on those attending college in the 4-year sector (Chang, 2002, p. 4), where studies that have shown that a student's involvement on campus has been proven to have positive effects on a student's overall experience in

higher education (Astin, 1999, p. 529). Yet, as Chang (2002) believes, that does not decipher the importance for student involvement at the community college level.

In a quantitative study by Miller et al. (2005) that profiles the student population enrolling in community colleges, findings show that students are not significantly involved in campus life. With a 91% response rate, the study confirmed students' lack of involvement on campus in the following areas: attending athletic events, eating on campus, using campus resources, participating in campus clubs, and attending various events on campus. Additionally, the study found that students are making use of technology more. The findings from the research show that community colleges are facing a rise in competition with online and private sectors that are offering students similar services. As a result, community colleges need to be more conscious of the population they are serving and improve their efforts to meet the demand of students. "In industries where the product or service offerings are quite similar, such as in higher education, the brand may be the single most important factor influencing the consumer" (Rosenthal, 2003, p. 24).

Planning, Budgeting, and Revenue

If the identity of an institution is not recognized, the probability of a limited enrollment is more likely, and can have a negative or challenging effect on the incoming revenue for the school. Higher education institutions generate revenue from a number of areas, including the following: "students and their families, the federal government, state governments, local governments, current donors, past donors (through endowment funds), and consumers from multiple contexts (patents, sporting events, and numerous

other activities)" (Cheslock, 2006, p. 30). Table 1 displays incoming-revenue sources in higher education from 1980–2001.

The table presents sales and services as one of the top two sources of revenue for higher education. However, this is only true for colleges and universities. "Community college revenues are derived primarily from the following sources: tuition and fees; federal, state, and local appropriations; and grants, gifts, and contracts with local business and industry" (American Association of Community Colleges, 2011). In order for higher education institutions to maintain this incoming revenue, it is essential to entice the community to attend a particular school. This is typically accomplished by the development and sustainability of a strong brand. Incorporating strong brand awareness is a vital aspect in communicating what the organization has to offer in a manner that persuades individuals to want to attend and be a part of. Branding essentially drives the sales and services of an organization (Cheslock, 2006, p. 31).

Table 1

General Revenue Shares by Source, 1980–81 to 2000–01

	1980–81	1985–86	1990–91	1995–96	1997–98	2000–01
Public institutions						
Tuition and fees	12.9	14.5	16.1	18.8	18.9	18.1
Federal governments	12.8	10.5	10.3	11.1	10.6	11.2
State governments	45.6	45.0	40.3	35.8	35.7	35.6
Local governments	3.8	3.6	3.7	4.1	3.8	4.0
Private gifts, grants and contracts	2.5	3.2	3.8	4.1	4.5	5.1
Endowment income	0.5	0.6	0.5	0.6	0.6	0.8
Sales and services	19.6	20.0	22.7	22.2	22.2	21.7
Other sources	2.4	2.6	2.6	3.3	3.7	3.7
Private institutions						
Tuition and fees	35.9	37.8	39.4	41.5	27.8	38.1
Federal governments	19.0	16.8	15.7	14.1	11.7	16.3
State governments	1.9	2.0	2.3	1.9	1.0	1.4
Local governments	0.8	0.6	0.7	0.7	0.5	0.6
Private gifts, grants and contracts	9.4	9.5	8.8	9.5	13.9	19.3
Endowment income	5.2	5.4	5.3	5.3		
Investment return					23.4	23.5
Sales and services	23.5	23.7	23.3	21.6	17.4	23.5
Other sources	4.2	4.4	4.5	5.4	4.2	5.1

Note: Figures taken from Table 332 of the 2002 Digest of Education Statistics (National Center for Education Statistics, 2002) and Table 332 and 338 of the 2004 Digest of Education Statistics (National Center for Education Statistics, 2004). The 1997–98 and 2000–01 figures for private institutions fundamentally differ from all other figures, because they are based on the new Financial Accounting Standards Board accounting, as cited in Applying Economics to Institutional Research on Higher Education Revenues, by J. J. Cheslock, 2006, *New Directions for Institutional Research, 2006,* p. 31.

In *The Journal of the University Continuing Education Association*, "The Next Big Brand," Heeger (2005) explained, an "increasing number of institutions recognize the financial benefits of educational entrepreneurialism" (p. 53). Heeger continued with the following example, "New York University's School of Continuing and Professional Studies … generates the largest pool of unrestricted funds for the university each year" (p. 53). Again, it is apparent that many colleges and universities have recognized the importance of branding.

In Harris' (2009) study, exploring how branding is delivered to external viewers, he showed that "the brands' relationship to the organization and consumers is of paramount concern to institutional leaders because of the benefits reputation provides financially and symbolically" (p. 286). The implementation of branding initiatives directly affects student demand, the character of an institution, and continued involvement with an institution. Seemingly, this correlates with the incoming revenue. "For example, a study of Stanford University alumni stated that 'Satisfaction with the undergraduate experience is the single most essential pre-condition for giving. … Those who are not satisfied are, without exception, nondonors" (Lockwood & Hadd, 2008, p. 5). Development of a well-known brand offers additional avenues for institutions to manage higher education expenditures. "Such a university becomes 'privatized' by attracting sufficient non-state financial support to meet its operating expenses, strengthen its endowment base, and compete even more vigorously" (Rothblatt, 2008, p. 28). Rothblatt (2008) explained that when an institution promotes its quality in any discipline, the institution is likely to expand across the institution to other disciplines. However, in *Sustaining Change in Universities: Continuities in Case Studies and Concepts*, Clark

(2004) explained it is complicated for institutions to attain good quality, and then to sustain it. Overall, implementing brand initiatives is not a simple task. For best results, institutions must dedicate time and effort in order to implement and maintain a brand that will be successful for the particular institution.

Summary

Although few empirical studies demonstrate the impact of branding initiatives in higher education, the research that is provided in this study demonstrates the importance of comprehensively investigating the topic in depth. The purpose of this study worked to examine the ascribed importance and perceived effects of branding initiatives in higher education. More specifically, based on the review of literature, research investigating the increase in school culture, enrollment, and revenue needs to be considered in branding, and the effects branding could have in those respective areas. According to the literature, these specific categories are individually affected with the execution of branding in higher education.

CHAPTER III

METHODOLOGY

This chapter contains a description of the methodology used to gain knowledge of higher education practitioner perspectives of the benefits of branding initiatives on colleges and universities. In particular, this section includes the restatement of purpose, the research design, the pilot study, the research setting, the population and sample, instrumentation, data collection, data analysis, human-subjects protection, background of the researcher, and ethical considerations.

Restatement of Purpose

The purpose of this study was to examine the ascribed importance and perceived impact of branding initiatives on higher education institutions in California. This study specifically examined the perceptions of elements within 4-year college and university branding initiatives in California. In addition to this, the study also validated a newly developed survey instrument by assessment of its psychometric properties, which are described below, specifically testing internal consistency, a measure of reliability of the scales used in the study.

Research Questions

Based on the perceptions of professionals in the trademark-licensing fields, responses to the following research questions were analyzed:

- What is the relationship between branding efforts and campus identity?
- What is the relationship between branding efforts and institution enrollment?
- What is the perceived impact of branding among college personnel who participate in their institution's trademark-licensing program?

- What is the perceived importance of branding among college personnel who participate in their institution's trademark-licensing program?

Research Method and Design

In order to directly collect data from participants that were easily accessible, this study utilized a quantitative methodology approach with numeric and quantifiable data (Creswell, 2009). This methodology provided a standardized measurement from respondents who are employed at colleges and universities in California who sought assistance with their branding initiatives from one of three branding groups: Strategic Marketing Affiliates (SMA), Collegiate Licensing Company (CLC), or Licensing Resource Group (LRG). Specifically, the sample design for this particular population was a nonexperimental survey design. The nonexperimental survey design was used because there were no variables that were manipulated in the study (i.e., no intervention was applied) and variables were observed as they exist (Nardi, 2002).

A quantitative research methodology ultimately "asks specific, narrow questions; collects numeric data from participants; analyzes the numbers using statistics; and conducts the inquiry in an unbiased, objective manner" (Creswell, 2008, p. 64). The known identity and potential benefit of the distinctiveness organizations may have warrant research into the effectiveness of branding to uncover what might be applicable to higher education. Through a quantitative approach, the current study determined if there are any perceived benefits of implementing trademark-licensing programs, which typically execute the branding initiatives in higher education institutions.

Pilot Study

A pilot study was completed in a doctoral survey-methods class prior to

completing the proposal and dissertation. The pilot study was completed in order to

inform the actual study, in addition to assessing the effectiveness of the newly developed

survey instrument, Perceptions of Branding in Higher Education Survey, which will be

described in depth below and in Chapter IV. In particular, the pilot study conducted a

content review of the items of the instrument purported to measure the ascribed

importance and perceived effects of branding initiatives in higher education from

professionals throughout northern California. The pilot study was completed online and

distributed to 32 respondents, who claimed to have some knowledge about branding. The

participants of the pilot study worked in various fields, including those not related to

branding. Consequently, the researcher was unable to provide discrete information in

regards to the positions each participant held.

The researcher received a 96.9% (31 respondents) response rate. Specifically, the

researcher distributed the survey to participants via e-mail, due to the time required to

personally administer the pilot-study survey, as well as the cost savings of administering

and data collection. The researcher analyzed the results and discussed the following

outcome in the doctoral survey-methods class.

The purpose of the content review was to determine if the survey items matched

the proposed constructs, the importance and perceived effects of branding initiatives in

higher education. Of the 31 respondents, 37.5% ($n = 12$) felt that students, personnel,

alumni, and/or the community would define the brand of their institutions in a similar

manner, whereas 6.3% ($n = 2$) strongly disagreed. In addition, 43.8% ($n = 14$) strongly

agreed that the brand of their institution was clear and apparent to the community, as well as that students/customers can easily identify and relate to the brand created by the institution.

The participants in the pilot study were asked to rate the extent to which each survey item measuring branding had an impact on the enrollment at their organizations. A majority responded with "agree" or "strongly agree." Of the respondents, 40.6% ($n = 13$) strongly agreed that all members of their organization take pride in the institutions identity, as well as 34.4% ($n = 11$) of the respondents indicating that branding has been effective at increasing national awareness; whereas 31.3% ($n = 10$) disagreed. Branding has also been effective at increasing the popularity and dominance of social-networking sites, such as Facebook, Twitter, Myspace, etc. (37.5%). Lastly, 50% ($n = 16$) of respondents strongly disagreed that the institution where they are employed has had a negative impact on the retention of students/customers.

Additionally, the Planning, Budgeting, and Revenue section of the survey instrument received a majority of the responses in the strongly agree category in regards to planning, budgeting, and revenue for an institution. More than 50% of the respondents felt branding has helped their institution with marketing and visibility, as well as the importance of investing in a branding campaign; 40.5% ($n = 13$) respondents strongly disagreed that branding initiatives at the institution where they are currently employed has been a waste of funds for the organization.

The last section of the pilot survey requested perceptions specifically related to the community-college sector. The respondents strongly agreed with all of the statements in regards to community-college identity, branding efforts, enrollment, perceived impact,

and importance of branding. Although none of the respondents strongly disagreed with any of the statements, a few disagreed.

The pilot study allowed the researcher to determine if there were any errors in the instrument before completing the dissertation process, and also permitted feedback and comments on the presentation of the instrument that was disseminated before conducting the actual study. Although the use of Survey Monkey was a useful, timely tool, the researcher had a difficult time developing an instrument on the website. In addition, it was brought to the researcher's attention that the last question on the survey did not display the Likert-scale accurately. However, by the time this was brought to the researcher's attention, a handful of participants had already responded to the survey. Consequently, the researcher was unable to determine how to delete a set of responses if the researcher completed the survey only to view the last question. Although there was only one respondent who pointed out the discrepancy and seemed to have a difficult time on the last question, the error in the survey presented a limitation to the instrument, which provided valuable information for the pilot test. All feedback from the pilot survey was used to enhance the final survey tool used in this study. Further, the pilot study provided sufficient reason to believe that the full study would be a beneficial contribution to the knowledge of branding in higher education.

Validity

The survey instrument was developed to effectively provide feedback from participants in regards to their perceptions of whether branding initiatives are beneficial to colleges and universities. The instrument was created through the following process: (a) A draft of questions was developed in order to measure the variables presented in this

study; (b) A review of the questions was completed and questions were arranged in sequential order according to the topics presented; (c) The content validity of the instrument for measuring the perceptions of professionals in the trademark field was assessed by the following validity panel of educators in the field:

- The President and CEO of SMA who is a graduate of Purdue University and the owner of the agency, SMA, which is dedicated to assisting educational institutions with their branding initiatives;

- Dr. Mark Robinson is the former Vice Chancellor of Student Development at the community college, City College of San Francisco. He originally established and implemented the Trademark Licensing Program at City College of San Francisco; and

- The former Senior Vice President for Branding and Communications at the National Collegiate Athletic Association (NCAA) was a major contributor to the National Collegiate Athletic Association's branding initiatives for 19 years.

Each person on the panel read and/or contributed to the instrument to ensure the questions were representative of the purpose of the study. Based on the feedback provided, the researcher made the necessary modifications to the newly developed instrument, including editing the content and order of the survey instrument, as well as adjusting the technical error displayed on the last question of the Likert-scale.

Reliability

Lastly, the instrument was initially pilot tested for internally consistent reliability with a convenience sample of people who have knowledge about branding initiatives. However, due to the measurement of a variety of constructs, the internal consistency analysis does not lend much information about its reliability. Nevertheless, the reliability for each scale will be revisited in Chapter 4.

However, the reliability of self-reported data is likely to be valid if the respondents know about the information being requested, if the questions are phrased clearly and unambiguously, the question items refer to recent events, the respondents think the question items are important, and answering the questions does not pose a threat or violate the privacy of the respondents (Bradburn & Sudman 1988; Brandt, 1958; Lowman & Williams, 1987). In order to meet the conditions mentioned above, the researcher verified the participants' role and knowledge in the area of branding during the initial phone conversation. Additionally, the remaining conditions were met by assessing the content validity.

Research Setting

The setting for this study was online and the survey was distributed to individuals who play a major role in their colleges' and universities' decisions in regards to trademark-licensing programs and branding initiatives. Although trademark-licensing programs are typically established and implemented to manage and protect an institution's brand at the microlevel, companies such as SMA, CLC, and LRG are hired to aid these organizations in creating, implementing, and protecting their brand on the macrolevel (CLC, 2005; LRG, 2008; SMA, 2009). Specifically, an e-mail was sent to

potential survey participants, which included an introduction to the study and a link to access the actual survey instrument (see Appendix A). The online setting was selected due to the time required to administer the survey via mail or in person, as well as the cost savings of administering and data collection.

The known identity and potential benefit of this research for schools of many 4-year higher education institutions in California warrant research into the effectiveness of branding to uncover what might be applicable to additional higher educational institutions, including those in the community-college sector. Through a quantitative approach, the research was able to determine if there are any perceived benefits of implementing branding initiatives in higher education.

Population and Sample

A reliance on nonprobability sampling, specifically convenience sampling, was applied to obtain a sample of college and university perspectives in California in order to determine whether they consider branding initiatives beneficial to educational institutions. A reliance on available subjects (convenience sampling) is extremely risky, but is the most used by researchers, especially university researchers. "A problem with all samples selected only because they are conveniently obtained is that we may or may not have a good basis for generalization" (Weiss, 1994, p. 26). However, this method was effective for feasibility. A sample of this kind provided an illustration of the perceptions of branding in higher education, including how these individuals felt branding initiatives are beneficial.

Given that branding is rather a new prevailing notion in higher education, using the following agencies—SMA, CLC, and LRG—that focus on assisting organizations

with their branding initiatives, ensures an existing trademark program or branding initiative at particular institutions in California ($N = 25$; see Table 2). In addition, because these institutions use an outside agency to assist with their trademark program or branding initiatives, the proposed participants may work in various departments within the selected institutions. These individuals included those working in the communications, marketing, athletics, media, and public relations areas, among others.

Initially, the researcher used the Internet to obtain a list of institutions in California that utilize the above-named agencies to assist with the assessment and decision-making process of trademark-licensing programs. The researcher then attempted to receive a list of specific clients at each institution from the respective agencies, whereas the remaining participants were identified through phone calls to the institutions.

Of the 25 institutions that were originally selected (see Table 2), 23 participated (see Table 3). Two institutions did not respond or lacked approval of the research. There were 73 individuals from the 23 institutions who were initially invited to participate in the study; a total of 51 of the potential sample participated in the study. Among the 22 higher education practitioners that did not participate in the study:

- 3 did not complete the survey;

- 9 did not return the researcher's phone calls; and

- 10 failed to submit the consent form.

Table 2

Colleges and Universities in California with Trademark Licensing Programs

Strategic Marketing Affiliates (SMA)	Collegiate Licensing Company (CLC)	Licensing Resource Group (LRG)
California State University Monterey Bay	University of California Berkeley	California State University Fullerton
California State University San Bernardino	University of California Davis	California State University San Marcos
California State University Channel Islands	California Polytechnic State University	California State University Long Beach
California State University Dominguez Hills	California State University Northridge	California State University Stanislaus
Saint Mary's College of California	Sacramento State University	University of California Santa Barbara
Loyola Marymount University	San Diego State University	University of Southern California
California State University of Bakersfield	San Jose State University	
	Fresno State University	
	Pepperdine University	
	Santa Clara University	
	Stanford University	
	University of California Los Angeles	

Table 3

Colleges and Universities in California with Trademark Licensing Programs That Were Used for the Study

Strategic Marketing Affiliates (SMA)	Collegiate Licensing Company (CLC)	Licensing Resource Group (LRG)
California State University Monterey Bay	University of California Berkeley	California State University Fullerton
California State University San Bernardino	University of California Davis	California State University San Marcos
California State University Channel Islands	California Polytechnic State University	California State University Long Beach
California State University Dominguez Hills	California State University Northridge	California State University Stanislaus
Loyola Marymount University	San Diego State University	University of California Santa Barbara
California State University of Bakersfield	San Jose State University	University of Southern California
	Fresno State University	
	Pepperdine University	
	Santa Clara University	
	Stanford University	
	University of California Los Angeles	

Instrumentation

Because the researcher was unable to find an instrument that was already created and used in a previous study that had a direct correlation with the research that was being conducted, the researcher developed a survey on Survey Monkey entitled Perceptions of Branding in Higher Education Survey, which used a 4-point Likert scale for the 37 question items (See Appendix A for a list of questions). The survey instrument required the potential participants to rate their responses from (1) "strongly disagree" to (4) "strongly agree." Through the use of an ordinal scale, the survey measures the following constructs: campus identity, institutional enrollment, importance of branding, and impact of branding.

In addition, the instrument focused on branding efforts, which Items 3, 5, 6, 9, and 21 addressed. These items specifically identify the work that an institution dedicates to implementing brand initiatives. Items that are scored higher translate into a greater perceived effort of an institution to brand itself.

The third construct measured institution enrollment was identified in Items 10 and 11. These questions not only requested insight on how the participants believed the institutions brand has affected actual enrollment numbers, but also requested their views on the popularity and reputation they believe the community has of the school. Item 11 was inversely coded, with a lower score indicating that there was a more positive impact of branding initiatives on student enrollment.

Furthermore, the survey instrument concentrated on depicting the perceived impact branding has on an institution. This section provided the researcher with the participants' experience on how branding can influence colleges and universities and is

measured through Items 13, 14, 15, and 16. A greater perceived impact of branding efforts is reflected through a higher score, whereas a lower impact of branding efforts is represented with a lower measurement.

The perceived importance of branding was also measured in the survey instrument through Items 17, 18, 19, and 20. These measurements identified whether the brand initiatives were perceived to be significant to an institution. The higher the scores on the above items, the greater perceived importance branding efforts have on the higher education institutions.

Data Collection

After the researcher received permission from the Institutional Review Board for the Protection of Human Subjects (IRBPHS), and in an effort to answer the research questions in this study, the researcher collected data through a quantitative research-method approach, which included distributing a detailed survey for participants to complete. Because branding in higher education is a fairly modern, unexplored concept, in order to gather data from institutions that have a clear establishment of a trademark-licensing program or brand initiative, the researcher first gathered a list of California schools, by networking and using the World Wide Web and identified institutions that utilized one of the following major licensing agencies: SMA, CLC, and LRG. In addition, in order to solicit the impressions of professionals in the field, the researcher requested the contact information from the licensing agencies of the individuals who contributed to the decision-making process of the trademark-licensing programs or brand initiatives at the respective institutions. Specifically, these professionals were selected

based on their role and experience, so their impressions of branding have a firmer basis in reflective consideration than someone less involved in the process.

If the researcher did not receive potential participants' contact information from the respective licensing agencies, the researcher completed a search on the World Wide Web to locate additional staff within the respective departments in order to garner a statically significant sample size. When the researcher was unable to identify sufficient numbers of additional participants through a website search, the researcher communicated with various departments at the institutions to solicit their advice to identify additional participants. Once the potential sample was finalized, the researcher made a telephone call to the purposive sample of staff. The call included an explanatory introduction to the researcher, along with the study that depicted the purpose of the study, as well as an estimate of how long the survey should take to complete.

Furthermore, in order to follow all ethical considerations of this study, the researcher informed participants that they were not required to participate and that involvement was completely voluntary. However, if selected participants decided to contribute to the study, they were informed that all responses would be kept confidential and would provide tangible evidence that could benefit higher education. Additionally, during the conversation, the researcher explained the Researchers Bill of Rights form (See Appendix B) and Informed-Consent form (See Appendix C). The researcher explained the importance of receiving the form before participating in the study. The researcher e-mailed and requested participants to print the consent form, sign, and either scan and e-mail the signed form back or fax it directly to the researcher within a week of receiving the form (See Appendix D).

Once the researcher received the informed-consent form from participants, the researcher provided a follow-up telephone call to confirm receipt of the consent form and to remind the participants of the incoming e-mail that included the survey instrument that would take approximately 10–15 minutes of their time. The researcher included in the e-mail to the participants a review of the purpose of the study and a link to access the web-based survey (See Appendix E). Respondents were asked to complete the survey within a 2-week time frame of the initial e-mail. After one week, if the researcher had not heard from the respondents, a reminder e-mail was sent to all participants (see Appendix F). If, after the second week, the researcher still had not heard from participants, the researcher called the individual participants to remind them to complete the survey. Data were collected from June 15, 2011 to August 15, 2011. Once the researcher received the survey responses from participants, the researcher completed the data review and analysis, through SPSS version 19.0, based on the responses received.

Data Analysis

The researcher used descriptive statistics to analyze the survey results that were submitted from the questionnaire. Using descriptive statistics allowed the researcher to summarize overall trends or tendencies in the data analysis and provide insight to where the scores stood in comparison with others (Creswell, 2008). The researcher specifically gathered demographic information from all participants who contributed to the study, including the organization for which they work, their current position, the number of years they have worked in their current position, and gender.

In addition to the demographic items the survey included items organized into the four areas of Identity/Environment; Enrollment; and Planning, Budgeting, and Revenue.

Although these were the formal titles of the survey, the items measuring the different

constructs were not neatly contained under these sections. Further, summing the values

of each of the items and dividing the value total by the total of items in each scale

calculated scale values. The values for Items 11 and 19 were inverted (original values of

4 were given a value of 1, original values of 3 were given a value of 2, etc.). The items

on the survey were assessed to answer the research questions of the current study:

1. What is the relationship between branding efforts and campus identity?

2. What is the relationship between branding efforts and institution enrollment?

3. What is the perceived impact of branding among college personnel who
   participate in their institution's trademark-licensing program?

4. What is the perceived importance of branding among college personnel who
   participate in their institution's trademark-licensing program?

Regression analysis was used to answer the first two research questions to predict

an interval-dependent (outcome) variable from an interval-independent (predictor)

variable. The independent or predictor variable for the first research question was

branding efforts, whereas the dependent variable was campus identity. The independent

or predictor variable for the second research question was also branding efforts, however,

the dependent variable was institution enrollment. In order to measure the first and

second research questions, a simple linear regression was calculated to determine the

relationship between campus identity and institution enrollment and branding efforts.

Lastly, frequency distributions were created to describe the last two research

questions: What is the perceived impact of branding among college personnel who

participate in their institution's trademark-licensing program? and What is the perceived

importance of branding among college personnel who participate in their institution's

trademark-licensing program? Frequency distributions are a type of descriptive statistic

that involves summarizing the individual values for each variable (Creswell, 2008).

The respondents' responses determined the mean of the results, which is the total

of the scores, divided by the number of scores, and is the most common statistic used to

explain all of the responses on the instrument (Creswell, 2008). Additionally, the means

and standard deviations of individual survey questions were analyzed and presented in

tables.

Human Subjects Protection

Prior to the researcher collecting any data, the University of San Francisco's

(USF) Institutional Review Board (IRB) conditionally approved the proposal to conduct

research with human subjects with modification or without modifications until the

researcher received consent from the 23 schools participating in the study. Once the

researcher completed the IRB process and received approval from each of the

institutions, the researcher provided USF with a copy. USF then fully approved the

proposal to complete the indicated research. A copy of USF's human subjects approval,

along with those from the 23 schools, is provided in Appendix G.

Ethical Considerations

As with all research, there are suggested criteria regarding ethical practices that

need to be addressed and followed through the development of the research study. After

USF completed the initial review of the research to be completed and approved, the

researcher received approval from the Institutional Review Board (IRB). Additionally,

for the purpose of this study, and as Creswell (2008) explained, the researcher respected

participants by obtaining their permission to participate in the study, while maintaining anonymity.

Furthermore, the researcher found it important to explain the purpose of the study and inform the participants of how the results would be used, specifically that the topic being addressed is not a sensitive issue, as well as no adverse consequences were likely to ensue. Implementing good ethical practice includes keeping the disturbance to a minimum. Lastly, as Creswell (2008) stated, the significance of reporting research fully and honestly regardless of the results of the study provides participants with an acknowledgment of their time and cooperation. In addition to presenting accurate research, the researcher extended an invitation to all participants to receive a condensed version of the results.

<div align="center">Summary</div>

In this chapter, the research methodology for the current study was discussed. The four research questions were analyzed using appropriate regression models and descriptive statistics. The study attempted to document the perceived importance and impact of branding initiatives on higher education institutions and examined the relationship between branding efforts and campus identity and institution enrollment. Lastly, the study attempted to examine the psychometric properties of a newly developed instrument, Perceptions of Branding in Higher Education Survey.

Background of the Researcher

The researcher is a graduate of San Diego State University, receiving a bachelor's degree in Sociology in 2004 and a master's degree in Social Work in 2006. Continuing a commitment to traditionally underserved populations and education, the researcher currently works at City College of San Francisco (CCSF) in the Student Development Division. The researcher began working at CCSF in 2007 in the Student Affairs Department. In the role as Evaluation Technician, the researcher served students from a variety of diverse backgrounds, and was able to assist the often frustrated students who came into the office. Three months after starting the position in the Student Affairs Office, the researcher took initiative to apply to an opening and accepted the position of Management Assistant to the Vice Chancellor of Student Development. In this position, a few of the researcher's major accomplishments include taking charge of the newly established CCSF trademark program in addition to independently seeking new avenues of communication for CCSF students, including digital advertising that disseminates college information efficiently.

In the beginning of the fall 2010 semester, the researcher became Manager of the Veteran Educational Transition Services (VETS) Center at CCSF, where the researcher is actively dedicated to serving the veteran student population, while maintaining a role as the Management Assistant to the Associate Dean of the Center. Also, the researcher completed three years of professional development through state and national organizations, including participation in the Student Success Conference, Intercollegiate Licensing Association, and The Grant Institute. In addition, the researcher served on the

executive board and served as a member of the international leadership association, Phi Delta Kappa, for a number of years.

The researcher has also spent time committed to community service/volunteer activities. The researchers service has included a wide range of activities including being the Vice President of a nonprofit organization; coordinating volunteer projects and promoting all aspects of social responsibility; and providing general volunteer work at local organizations.

CHAPTER IV

FINDINGS

Introduction

Following the procedures outlined in the research methods section of this study, this chapter highlights the report findings, discussion of findings, and summary related to the four research questions outlined previously in Part III. The purpose of this study was to examine the ascribed importance and perceived impact of branding initiatives in higher education in California. This study intended to specifically examine the perceptions of elements in 4-year college and university branding initiatives in California. In addition, the study also attempted to validate a newly developed instrument by assessing the internal consistency of the instrument, a measure of reliability of the scales used in the study.

As indicated above in the methodology chapter, based on the perceptions of higher education professionals in the trademark-licensing fields, responses to the following research questions are addressed:

1. What is the relationship between branding efforts and campus identity?

2. What is the relationship between branding efforts and institution enrollment?

3. What is the perceived impact of branding among college personnel who participate in their institution's trademark-licensing program?

4. What is the perceived importance of branding among college personnel who participate in their institution's trademark-licensing program?

Report of Findings

As described earlier in the study, the data for this study were collected online via a web-based survey tool, Survey Monkey. The setting for the study was selected in order to preserve time in administering the actual survey, in addition to the cost savings factor of the administration and data collection. The data entry was completed electronically and checked manually for accuracy before distributing it to participants. Additionally, SPSS version 19.0 was used in order to provide the statistical analysis for the study.

A total sampling of 51 higher education practitioners of 73 requests participated in the study for a survey response rate of 69.9%. Furthermore, tables 4, 5, and 6 present the descriptive statistics for each of the variables included in the background section of the instrument. This includes respondent gender, institution type, as well as the number of years in the current position.

Table 4

Frequency Distribution of Respondent Gender

Gender	Frequency	Percent
Female	28	54.9
Male	21	41.2
Unreported	2	3.9
Total	51	100.0

Table 5

Frequency Distribution of Institution Type

Institution Type	Frequency	Percent
California State University (CSU)	31	60.8
Private	10	19.6
University of California (UC)	10	19.6
Total	51	100.0

Table 6

Descriptive Statistics of Years in Current Position

Variable	N	Minimum	Maximum	Mean	Std. deviation
Years in Current Position	50	0.00	29.00	7.33	6.48

Approximately 55% of the respondents were women, while 41.2% of the respondents were men. Two respondents, or 3.9% of the sample, did not respond to the question inquiring their gender (See Table 4). Additionally, the 51 survey respondents were from 23 different four-year education institutions in California. Table 5 indicates that 60.8% of the survey respondents are employed at a California State University (CSU) institution, while 19.6% are employed at a private California college or university. The remaining 19.6% are employed at a University of California (UC) institution. Lastly, respondents reported a range of 0 to 29 when asked to reveal the number of years they have worked in their current position. On average, study participants reported that they were in their current position for 7.33 years.

Data Analysis of Research Question 1

In order to answer the first research question, "What is the relationship between branding efforts and campus identity?" a simple linear regression was completed using a one-tailed test. Table 7 presents the descriptive statistics of the variables branding efforts and campus identity, including mean and standard deviation. Figure 3 presents a scatter plot of the relationship between branding efforts and campus identity, whereas Table 8 provides the results of the linear regression model.

Table 7

Descriptive Statistics of Branding Efforts and Campus Identity

Variable	N	Minimum	Maximum	Mean	Std. deviation
Branding Efforts	46	1.80	4.00	2.69	0.52
Campus Identity	46	2.00	4.00	2.87	0.46

A total of 46 of the survey respondents completed each of the items on both the branding-efforts and campus-identity scales. The mean scores on the branding efforts scale is 2.69 with a standard deviation of 0.52, which reveals that the average response on the branding effort items was between "Disagree" and "Agree," but closer to "Agree." Respondents to Research Question 1 showed more of a belief that branding efforts have positively affected campus identity. There were no higher education practitioners in the sample who scored lower than a 1.80 and 2.00 on the branding-efforts and campus-identity scales, respectively.
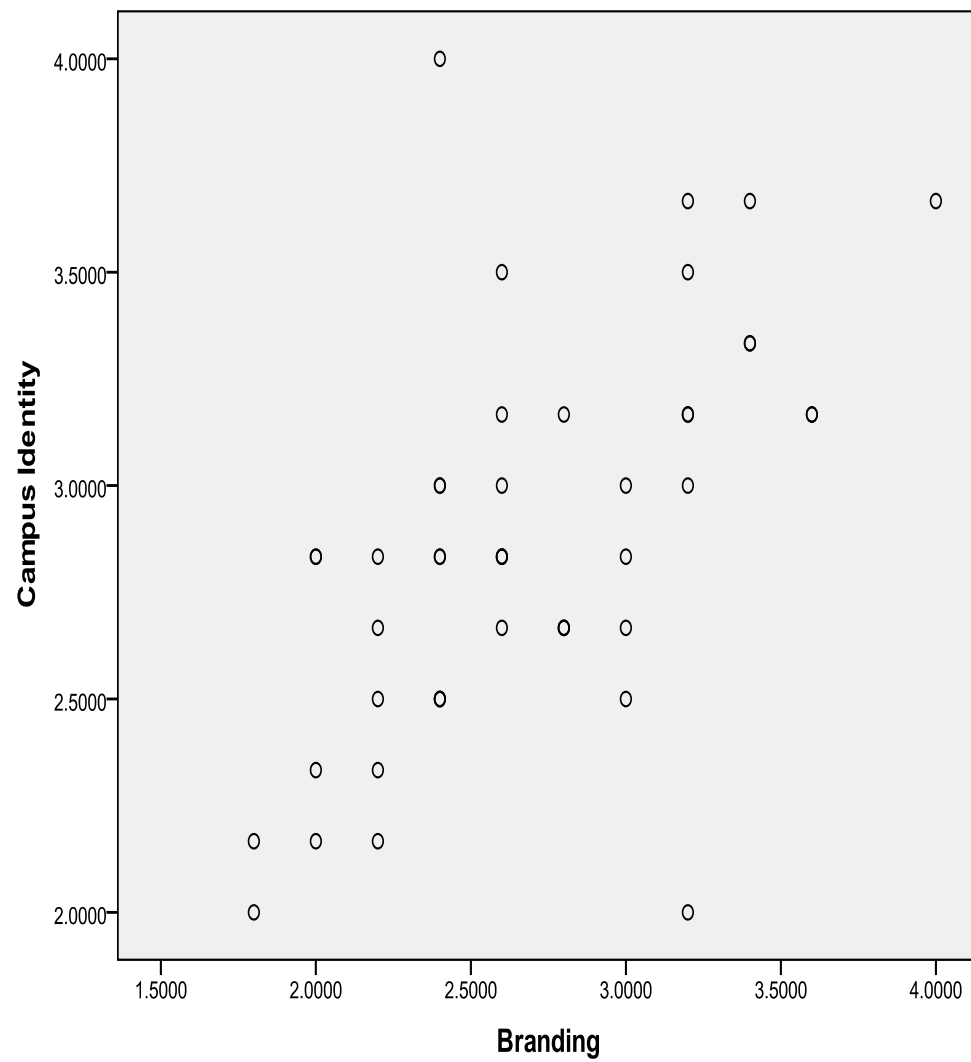
Figure 3: Scatterplot of campus identity by branding efforts.

Table 8

Linear Regression Summary Statistics for Branding Efforts and Campus Identity

N	R^2	b_0	b_1	t-value	p-value
46	0.345	1.473	0.517	4.818	0.000

The scatterplot of the branding efforts (x-axis) and campus identity (y-axis) reveals that the relationship between the two variables is positive and moderate. Moreover, greater levels of branding efforts are related to greater levels of campus identity, whereas lower levels of branding efforts are related to lower levels of campus identity.

The simple linear regression model (y = 1.473 + 0.517x) using branding efforts to predict campus identity is statistically significant ($t = 4.818$, $p < 0.001$). The slope of the regression line (b_1) is 0.517, which means that for every one point on the branding scales, the predicted campus identity increases by 0.517 points. In contrast, the intercept of the regression line is 1.473. If a respondent reported a value of zero on the branding-efforts scale, the predicted campus identity is 1.473 (between "Strongly Disagree" and "Disagree"). Furthermore, the *R*-squared value is 0.345, indicating that 34.5% of the observed variation in campus identity can be explained by branding efforts.

Data Analysis of Research Question 2

The second research question, "What is the relationship between branding efforts and institution enrollment?" was addressed through a simple linear regression utilizing a one-tailed test. Table 9 presents the descriptive statistics of the variables branding efforts and institution enrollment. Table 9 also includes the mean and standard deviation. In addition, Figure 4 presents a scatterplot of the relationship between branding efforts and

institution enrollment, whereas Table 10 provides the results of the linear regression

model.

Table 9

Descriptive Statistics of Branding Efforts and Institution Enrollment

Variable	N	Minimum	Maximum	Mean	Std. deviation
Branding efforts	47	1.80	4.00	2.67	0.53
Institution Enrollment	47	2.50	4.00	6.06	0.48

A total of 47 survey respondents completed each of the items on both the

branding-efforts and institution-enrollment scales. The mean scores on the branding

effort scale is 2.67 with a standard deviation of 0.53, which reveals that the average

response on the branding effort items was between "Disagree" and "Agree," but closer to

"Agree." The mean scores on the institution enrollment scale are 3.06 with a standard

deviation of 0.48. This score reveals that the average response on the campus identity

items was "Agree." There were no higher education practitioners in the sample who

scored lower than a 1.80 and 2.50 on the branding efforts and institution enrollment
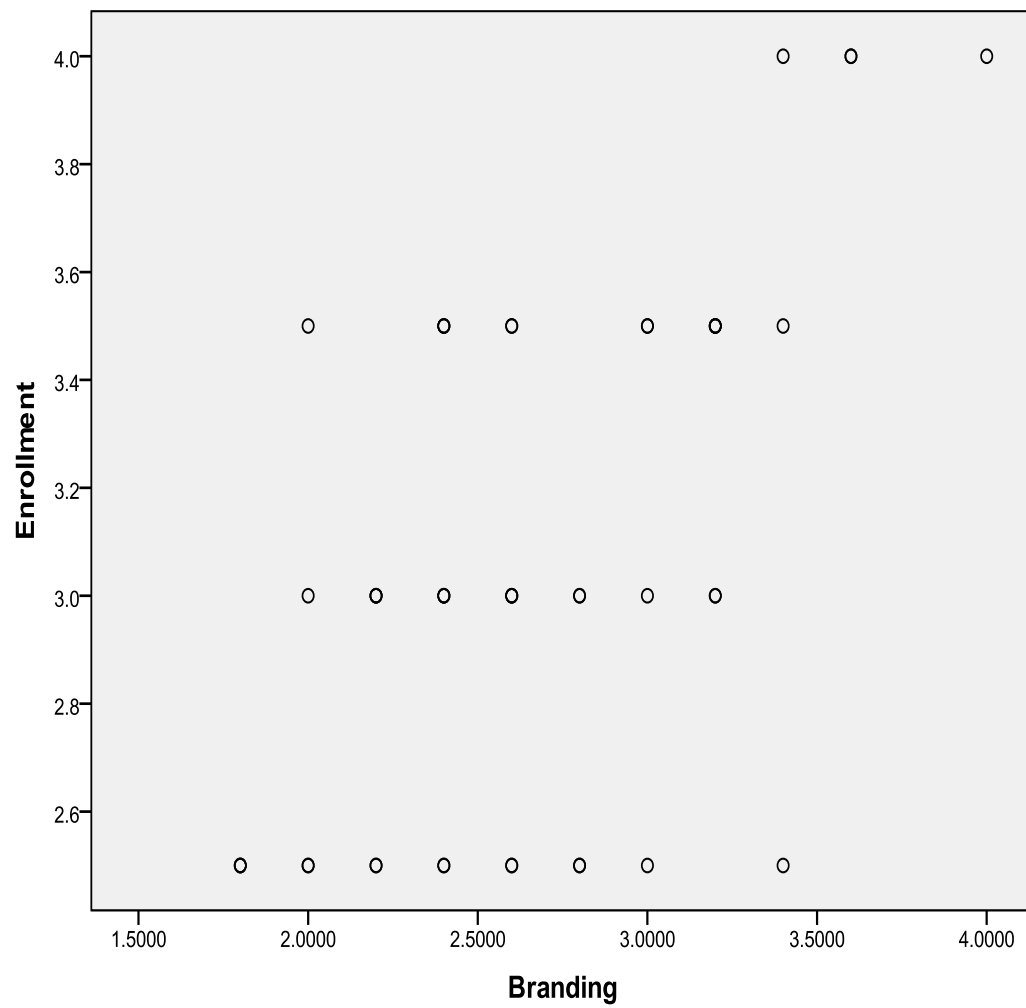
scales, respectively.

Figure 4: Scatterplot of institution enrollment by branding efforts.

Table 10

Linear Regression Summary Statistics for Branding Efforts and Institution Enrollment

N	R^2	b_0	b_1	*t*-value	*p*-value
47	0.345	1.637	0.534	4.869	.000

The scatterplot of the branding efforts (x-axis) and institution enrollment (y-axis) disclose that the relationship between the two variables is positive and moderate. More specifically, greater levels of branding efforts are related to greater levels of institution enrollment, while lower levels of branding efforts are related to lower levels of institution enrollment. Additionally, the shape of the scatterplot indicates that there is minimal variability in the institution enrollment scores, which is likely due to the scale including only two items on the instrument.

The simple linear regression model (y = 1.637 + 0.534x) using branding efforts to predict institution enrollment is statistically significant ($t = 4.869$, $p < 0.001$). The slope of the regression line (b_1) is 0.534. This slope of this regression line indicates that for every point on the branding scales, the predicted value of institution enrollment increases by 0.534 points.

The intercept of the regression line is 1.637. This measurement suggests that if a respondent reported a value of zero on the branding efforts scale, the predicted value of institution enrollment is 1.637 (between "Strongly Disagree" and "Disagree"). In addition, the *R*-squared value is 0.345, which specifies that 34.5% of the observed variation in institution enrollment can be explained by branding efforts.

Data Analysis of Research Question 3

The third research question, "What is the perceived impact of branding among college personnel who participate in their institution's trademark-licensing program?" was answered through a frequency distribution (See Tale 11). The frequency distribution created a reporting number of respondents by response choice group ("Strongly Disagree" and "Disagree," "Strongly Agree" and "Agree").

Table 11

Frequency Distribution of Perceived Impact of Branding Efforts Items

Item	N	Strongly Disagree/ Disagree		Strongly Agree/Agree	
		Count	%	Count	%
Branding has been effective at increasing national awareness.	50	27	54.0	23	46.0
Branding has been effective at increasing the popularity and dominance of social networking sites (i.e. facebook, twitter, myspace, etc.).	50	16	32.0	34	68.0
Branding has helped your institution with visibility.	50	7	14.0	43	86.0
Branding has helped market your institution.	50	9	18.0	41	82.0

For each of the perceived impacts of branding-efforts items, there were 50 responses. Among the items, the largest proportion of respondents, 86.0%, reported that they "Agreed" or "Strongly Agreed" that branding has helped their institution with visibility. Slightly fewer (82.0%) respondents reported that they "Agreed" or "Strongly Agreed" that branding has helped market their institution. Further, about two-thirds of the respondents (68.0%) reported that they "Agreed" or "Strongly Agreed" that branding has been effective at increasing the popularity of dominance of social-networking sites. Lastly, fewer than half (46.0%) of the respondents indicated that branding has been effective at increasing national awareness of their institution.

Data Analysis of Research Question 4

In order to answer the fourth research question, "What is the perceived importance of branding among college personnel who participate in their institution's trademark-licensing programs?" a frequency distribution was developed to report the number of respondents by response-choice group ("Strongly Disagree" and "Disagree," "Strongly Agree" and "Agree").

Table 12

Frequency Distribution of Perceived Importance of Branding Efforts Items

Item	N	Strongly Disagree/ Disagree		Strongly Agree/Agree	
		Count	%	Count	%
It is important for educational institutions to have designated Trademark managers.	51	2	3.9	49	96.1
It is important for educational institutions to invest in a branding campaign.	50	4	8.0	46	92.0
Branding your institutions has been a waste of funds for the institution.	49	49	100.0	0	0
Creating a recognizable brand for the institution translates in all areas of education (student i.d. cards, website, regalia, etc.).	50	3	6.0	47	94.0

A total of 51 participants responded to the first item, "It is important for educational institutions to have designated Trademark managers," related to perceived importance of branding for an institution (See Table 12). Also, 96.1% of the participants responded that they "Agreed" or "Strongly Agreed" with the statement.

Among the 50 respondents, 92.0% reported the importance for educational institutions to invest in a branding campaign. Whereas, all of the 49 participants who responded to the item reported that they "Disagreed" or "Strongly Disagreed" with the statement "Branding your institutions has been a waste of funds for the institution." Lastly, exactly 94.0% of the 50 participants who responded to the item agreed that creating a recognizable brand for the institution was relevant to all areas of education, including the website, regalia, student identification cards, etc.

<div align="center">Internal Consistency</div>

Analysis to test the internal consistency, one measure of instrument reliability, on the three scales of the instrument, branding efforts, campus identity, and institution enrollment that used inferential statistics was conducted. Internal consistency measures whether items that are theorized to measure the same construct produce similar scores (Cronbach, 1951). Internal consistency was measured using Cronbach's alpha. Table 13 describes the number of items, along with Cronbach's value of the three scales of the instrument. Aforementioned, because the researcher used numeric and quantifiable data, the study used a quantitative research method. Specifically, the sample design for this particular population was a nonexperimental survey design because there were no variables that were manipulated in the study (i.e., no intervention was applied) and variables are observed as they existed (Nardi, 2002).

The Perceptions of Branding in Higher Education Survey used a 4-point Likert

scale, and included 37 questions. Particularly, in order to test internal consistency,

campus identity was measured with Items 1, 2, 4, 7, 8, and 12; branding efforts were

measured with Items 3, 5, 6, 8, and 21; institution enrollment was identified in Items 10

and 11, whereas Item 11 was inversely coded.

Table 13

Cronbach's Alpha Values for Three Scales

Scale	N	Number of items	Cronbach's alpha
Branding Efforts	47	5	0.799
Campus Identity	49	6	0.786
Institution Enrollment	50	2	-0.152

The data depicted that the branding efforts and campus identity are reliable in

terms of internal consistency ($\alpha = 0.799$ and $\alpha = 0.786$, respectively). Therefore, survey

respondents made similar responses to each of the items of each scale. Additionally, the

data indicated that the items measuring institution enrollment were not reliable in terms

of internal consistency ($\alpha = {}^-0.152$). Respondents who expressed agreement with the

statement "Branding has helped your institution with student/customer recruitment" did

not express disagreement with the statement "Your institution brand had a negative

impact on retention of students/customers." Due to the latter statement being negative, it

is expected that the Cronbach's alpha value would be negative as well. However, the

strength of the relationship between the items appeared poor ($\alpha < 0.70$).

Summary

The study used a quantitative methods approach to further explore the research

questions in depth; responses from the participants provided additional perspectives to

answer the four proposed research questions. The data gathered from the survey lends

significant insight into the benefits of trademark programs and branding. Through

positively correlated statistical findings, the data shows that branding has many positive

impacts on colleges and universities. This chapter has specifically provided the statistical

analysis to answer the research questions. Specifically, Research Question 1 determined

that branding efforts had a positive affect on campus identity, whereas Research Question

2 discovered the total time an institution dedicates to brand initiative could also have a

beneficial impact on the institution's enrollment. Research Question 3 revealed that

respondents involved with the brand initiatives on their respective campuses felt branding

was overall a constructive program to implement in higher education. Similarly,

Research Question 4 exposed that brand initiatives are an important factor in the

foundation of an institution.

The data analysis and findings provided in Chapter IV addressed the two purposes

of the study: To examine the ascribed importance and perceived impact of branding

initiatives in higher education, particularly investigating the elements of 4-year college

and university branding initiatives; and to validate the instrument used in the study, while

assessing the psychometric properties (internal consistency). Overall, trademark

programs have had a very substantial and positive impact on colleges, ranging from

campus identity, to increased enrollment, to increasing collegiate recognition. According

to the professionals who responded to the survey, branding appears to be highly

correlated with beneficially impacting higher educational institutions. The findings

presented in Chapter IV will be discussed further in Chapter V.

CHAPTER V

DISCUSSION, IMPLICATIONS, RECOMMENDATIONS, AND CONCLUSION

Introduction

This study examined the important area of trademark-licensing programs and branding. The topic has been recognized as an important area because of the increased competition in higher education, in addition to the limited research completed in the field. Chapter IV presented the findings of the study. Overall, these findings highlighted many positive benefits of trademark management and branding, including the perceived impact of branding on college identity, enrollment, and collegiate visibility and marketing. In this chapter, a discussion of the findings and their implications are discussed in detail. In addition, recommendations for future research are outlined. Finally, concluding comments on this study and the contributions of the research to the field of education are also presented.

Discussion of Findings

The purpose of this study was to examine the ascribed importance and perceived impacts of branding initiatives in higher education in California. Specifically, with the use of quantitative data, the analysis disclosed five major findings about branding initiatives at the selected 4-year higher education institutions that have implemented branding initiatives that also used licensing agencies for assistance.

The purpose of Research Question 1 was to allow participants to provide insight on how branding efforts correlate with campus identity, if at all. According to the data, the amount of branding activities an institution engages in positively predicts the level of consistency in campus identity. More specifically, the analysis for the first research

question signifies that a majority of the respondents "Agreed" that branding initiatives affect their campus identity. The branding-effort scale had a range of 2.2, with a minimum score of 1.80 and maximum score of 4.00. The range for campus identity was 2.00, with a minimum score of 2.00 and a maximum score of 4.00. As noted, both scales scored closer to "Agree" as the average response (0.52 standard deviation for branding efforts and 0.46 standard deviation for campus identity).

Moreover, the simple linear regression model using branding efforts to predict identity showed to be statistically significant ($t = 4.818$, $p < 0.001$). As a result, branding initiatives certainly increase the campus identity of an institution in addition to enhancing distinction from other institutions. In addition, the total time an institution spends implementing brand initiatives directly reflects the uniformity an institution has.

Further, the results for Research Question 1 show that branding in fact aids in the identity of the institution by creating a community for the direct population involved with the respective institution. Although a brand serves to promote an institution, the institution is responsible for maintaining and increasing enrollment. The high competition in attracting students to attend universities further exemplifies the need for institutions to go beyond what is expected in order to have their singular foundation emphasized, and thus to impact the prospective population and increase the demand for popularity, directly affecting enrollment. Branding initiatives can also assist a college in promoting a unique or expert quality, such as technical, art, or mechanical schools. These specific examples help institutions become more recognizable to the greater community. Another possible explanation of this outcome suggests that institutions want to maintain tradition within their institutions. Preserving the image of an institution has

within the developed community, in addition to upholding their identity for current students and alumni to associate with help institutions remain consistent with the message and type of institution they are promoting to the outside community.

In Research Question 2, which examined the relationship between branding efforts and institution enrollment, the results determined that the amount of branding activities in an institution engages in positively predicts the level of institution enrollment, including the recruitment and retention of students/customers. In particular, this outcome was reported as statistically significant with respect to the linear regression model that was performed ($t = 4.869$, $p < 0.001$). Additionally, 86% of the respondents agreed that branding has aided in increasing the visibility of the institution, whereas 82% believed it has also helped in marketing. Accordingly, these findings regarding branding efforts were shown to promote an institution's enrollment, which can be beneficial to education institutions when trying to increase an institutions reputation in the midst of the fairly new competitiveness that is present within higher education. Pinar et al. (2011) explained, "vast numbers of universities and colleges (i.e., brands) in the marketplace often compete for the same students" (p. 724). The data suggest that the more effective brand initiatives implemented at an institution can confidently increase an institution's enrollment, which may have a direct effect on the institutions status throughout the nation.

More specifically, the more appealing an institution appears to be to prospective students, the more successful the institution typically is in increasing and sustaining enrollment. Conversely, if an institution implements a less alluring brand to the community, the want to attend is not as strong because students do not find the institution

as captivating as others. For example, when students make their campus visit to an institution, the quality of the brand has a direct affect on the decision the students will make in decided to attend that school. As mentioned in Chapter II, Lockwood and Hadd (2008) stated in *Gallup Management Journal* the importance of students feeling connected to the community. For instance, students may feel this connection to the community when they are able to see the school spirit or emotional support other students experience when they are on a particular campus. A prospective student may recognize this support through the representation of the school via clothing students wear, decals, fliers, etc., all of which encompass the trademarked logos and school colors. The representation a student holds for a particular school displays the investment they have in the tradition of the school. Students want to attend a school at which they will feel comfortable, as well as a place they want to be linked to as a student and future alumni. These findings directly support the aforementioned article by Chang (2002), in which the author depicted that the education and growth of students is reliant on their involvement/investment to the environment with which they are associated.

In addition, students typically look for institutions with a remarkable reputation, which is parallel to the success of an institution's brand. The reputation of an institution has an immense role in how the overall school is succeeding, including in the nature by which the school is known, which directly associates to their brand. If the performance the school displays is not highly regarded, the brand and the institution will be directly affected in terms of the popularity, along with recognition. Thus, students would be less likely to be involved with a school that has a bad reputation, along with poor branding initiatives, beyond their mere attendance.

Further, certain institutions, such as those within the community-college sector, might argue that there is not a need for branding efforts to be implemented in order to attract additional students because they are financially affordable without any admissions requirements. However, for schools, including community colleges, this study proves that branding can still have positive effects on the reputation and retention of an institution's student population. This emerging trend of branding is becoming increasingly essential for both community colleges and 4-year universities. When combining the results from Research Questions 1 and 2, the identity, along with the enrollment of an institution, allow the possibility to conclude that a positive correlation exists between the two with the implementation of a successful brand.

In regard to Research Question 3 and the perceived impact of branding among college personnel who participate in their institution's trademark-licensing program, the data show that college personnel who are involved in branding initiatives on their campuses recognize branding to positively impact multiple aspects of their colleges. This finding includes, but is not limited to, increasing visibility, marketing their institution, and increasing popularity on social-network platforms. More than half the respondents (86.0%) agreed that branding has contributed to the visibility of their institution; in addition, two thirds believed that branding has been effective in raising the popularity of their institution through social networking. And finally, a little less than half the college practitioners who participated in this study perceived branding to positively impact their institution's brand at the national level.

This particular finding is surprising in the extent to which branding is perceived to benefit higher education institutions. The data cause speculation on the actual scope and

range of the brand initiatives at particular institutions. Although respondents agreed that

branding was not a waste of institution funds, the data show that marketing is more

influential in the community that is interested in being involved with the institution,

including, but not limited to, students. Additionally, based on participant responses, a

small majority of personnel do not believe that branding has positively affected their

institution nationally. This result was specifically unexpected when the personnel also

believed that the implementation of brand initiatives is not a misuse of funds.

According to the college personnel surveyed in this study, the perceived impact

branding has on institutions demonstrates how marketing has a powerful influence in

higher education. Pinar et al. (2011) stated,

> As today's prospective students are fully immersed in a variety of digital worlds, institutions of higher education sometimes struggle to understand and embrace their needs. It is in this context that colleges and universities are turning to branding as they seek to thrive, and in some cases survive, in the current marketplace for higher education. (p. 724)

Although higher education has improvements to make in terms of implementing brands

and marketing strategies, according to an article in *Inside Higher Ed*, by Murphy (2011),

"colleges and universities have harnessed social media at a faster clip than most Fortune

500 companies and charities." Additionally, Moogan (2010) believed,

> the latest technology such as mobile phone texting and social networking sites provide new channels for marketing communication strategies whereby relationships with customers can be tailored in a more one-to-one environment and relevant information passed on. Such relationships can be maintained throughout the decision-making period (from pre-purchase to post-purchase), so helping to address retention issues and improve the image of the institution further. (p. 581)

There are a variety of marketing avenues to advertise a brand and expand the

popularity and dominance through social media; branding is becoming an essential tool

for higher education institutions to take advantage of in order to reach their prospective student population, as well as connect and/or reconnect with their current and past population. Further, Murphy's (2011) observation on social media can provide additional contribution to assisting institutions in being recognized nationally; a factor that this study found to be lacking from most participant responses.

Overall, branding has become the catalyst for advancement in higher education through images used in new social-networking techniques. For example, social networking sites such as Facebook, Twitter, Myspace, etc., along with other technological means for communication (school websites, e-mail, news, etc.), all use branding and trademarks to identify the school to a new generation of students. Moogan (2010) depicted, "The traditional promotions element of the marketing mix is frequently standard mass media advertising and hard copy promotions like the prospectus and direct mail, but e-documents and the use of technology are becoming increasingly important sources" (p. 574). Living in a rapidly changing technological environment makes the abovementioned methods of marketing a specific brand to the community essential. Without the implementation of branding being noticed and its important impact in higher education, there would be a lack of effective marketing strategies for the respective institutions. Additionally, in a social-media dominated world, trademarks protect an image for institutions to call their own and to create an identity for others to remember, particularly for future students contemplating where they will attend.

Further, practitioners who are directly involved in the trademark program at their institution perceive branding to be a priority in the fabric of institutional work, including hiring a designated trademark manager and investing resources into branding activities,

and across all areas of the institution. A majority of participants agreed with the

statements in regards to the perceived importance of branding among college personnel

and disagreed that branding was a waste of funds. These findings further supplement the

significance in implementing brand initiatives in higher education.

Allocating the initiative to particular people, in addition to having a specific office

for the development of the program, allows the brand to be coordinated with current

marketing efforts across the campus with a clear image. Additionally, although most

institutions already have public relations and marketing offices that undertake these

functions, such as trademark and/or branding offices, it appears combining the offices

with the already existing resources at colleges and universities makes the most sense for

institutions to be successful efficiently. Narrowing an institution's brand and trademark

to already-existing departments could help simplify such efforts and yield maximum

results, such as increased identity, enrollment, and revenue.

As the findings support the idea of designating specific individuals to be in charge

of brand initiatives, the development of branding into institutions' annual planning should

also be considered. Institutions should recognize that all colleges must spend money on

marketing in order to have success in promoting the institutions to their full potential.

Building branding into the annual and strategic planning of an institution will further help

institutions outline and identify long-term goals and opportunities for the institution to

embark on, while defining potential outcomes the institution envisions.

Lastly, in order to address the second purpose of the research, the internal

consistency of the branding and campus-identity scales were analyzed. As stated

previously in this study, the new survey instrument, Perceptions of Branding in Higher

Education, was developed for the purpose of this study in order to assess participants' views, and is still in the pilot phase. Although test–retest reliability needs to be further investigated, internal consistency was measured and the findings indicate that there can be a reliance on the results for the first research question. The results depicted in this research question can be interpreted directly. In addition, the data may be referenced when institutions are interested in the effects of implementing branding initiatives in higher education.

In contrast, the institution-enrollment scale for this study is not as dependable. The results from the data displayed inconsistency in participants' responses. The results from Research Question 2 should be considered lightly when institutions are researching the affects of branding on enrollment. Although in Chapter II research was provided describing how branding may influence the retention of students, the responses on the instrument scale did not exhibit a response that equally aligned with the previous research. Therefore, the findings from Research Question 2 should be interpreted with care.

Implications

As mentioned in Chapter I, there is limited research in regards to branding in higher education. Thus, the results from this study can be useful in establishing a base for additional research to be completed on the subject. Recommendations for future research are further discussed below.

In order to better understand how the findings may be applied to practice, the results need to be considered in the context of organizational-culture theory. The data for the first research question showed a positive correlation between branding efforts and the

campus identity of an institution. This interpretation shows that, based on the perceptions of professionals within the trademark-licensing field at colleges and universities in California, the amount of branding activities in an institution is involved in definitely has an effect on the level of uniformity in campus identity. On the other hand, the lack of brand initiatives at educational institutions could result in the individuality of an institution becoming confused with other institutions. For example, many of the University of California institutions have the same school colors, blue and gold. If Universities of California do not dedicate time to the brand of a specific institution, the individual traits of each can be bewildering; there would be no recognizable difference between the many institutions located in California.

This finding directly supports the organizational-culture theory. As noted earlier in the study, "When we talk about culture we are usually referring to the pattern of development reflected in a society's system of knowledge, ideology, values, laws, and day-to-day ritual" (Morgan, 2006, p. 116). Although organizational-culture theory focuses on the understanding and underlying meaning behind what an organization portrays to the outside community, in addition to standards that influence on how people form their thoughts, feelings, and actions in schools (Peterson & Deal, 1998), creating an individual brand that appeals to students and the community want to become a part of for a lifetime further demonstrates why the interpretation of these findings is also relevant.

Although, as stated in Chapter IV, Research Question 2 needs to be interpreted with care, a similar benefit of branding effort was positively correlated with the enrollment at institutions exhibits a positive correlation. In view of the branding efforts corresponding to institutional enrollment, the participants' responses also included a

positive effect in recruitment and the retention of the student population. These findings

directly relate to Research Question 1 in terms of the identity of an institution.

Specifically, as mentioned above, brand efforts can positively help distinguish the

characteristics of an institution in comparison to others. Yet again, institutions can take a

stance on the benefits of the implementation of brand initiatives as they relate to

enrollment, community, and the traditions they assist in developing. The unique ways

institutions sell their services is what will stand out to students interested in attending,

which directly affects the enrollment, recruitment, and retention of the school.

The data addressing the third research question showed that personnel who

participated in their institution's trademark-licensing program perceived branding as an

essential function of the institution. These findings revealed participants' views that

personnel who are involved in the branding initiatives on their respective campuses

perceive they have more of an influence on areas such as visibility, marketing, and

popularity. Similarly, this direct relationship affects the enrollment of the institution.

How an institution markets their identity can either positively or negatively influence

their enrollment. In terms of this study, participants found branding efforts to utterly

benefit the enrollment of their respective institutions.

In addition to this finding, Research Question 4 expressed the importance of

branding in relation to the foundation of an institution. More specifically, this finding

can be analyzed as respondents believing branding was an important feature in

establishing the institution as a whole, including but not limited to the designation of a

trademark-program manager, implementing brand campaigns, and becoming

recognizable in all areas of education. In general, although participants found brand

initiatives to be beneficial to the development of an institution, they also believed the implementation of the brand was well worth institution dollars.

Currently, there are 399 colleges and universities in the State of California (Tellefsen, 2011). As the competition to attract students among higher education institutions increases, along with an economic struggle throughout the state, organizational culture becomes more relevant for an institution to be successful. Heeger (2005) explained that the for-profit sectors realized that higher education needed to be seen as a business of service, which has created a trend throughout higher education institutions. As the study reveals, the findings inform the perceived value of efforts in implementing branding initiatives at higher education institutions. The implementation of branding initiatives can ultimately assist higher education institutions in the development of a distinct identity in the social world. Moore (2010) stated, "the education market is becoming more competitive and far more crowded" (p. 46). Having a distinct identity helps consumers solidify and select where they want to attend without reservation.

Moreover, the competition that schools are facing is directly linked to the current budget crises in California. Muntean et al. (2009) explained, "Like corporations, universities need to think about their sustainability, they need to please a demanding public, they face stiff competition" (p. 1066). According to the findings of this study the brand phenomenon could potentially provide additional revenue sources for these institutions in an effort to help in such a difficult time. By engaging in branding initiatives and strategies, institutions would be doing their part to attempt to sustain the institution's funds, while providing extra dollars for particular areas of the school.

Recommendations for Further Research

In order to fill the gap in the literature in regards to the topic of branding in higher education the following areas of research are recommended to complement the current study:

1. Explore the correlation between business brand initiatives and educational brand initiatives;

2. Investigate the student perspective of branding in higher education;

3. Repeat the current study with a larger sample size;

4. Use qualitative-research-methods approaches to identify why and how branding has an impact on institutions.

5. Further Investigate brand initiatives in the community-college sector;

6. Examine the impact of branding efforts by institution type (California State University, University of California, private, community colleges, and for-profit institutions);

7. Continue to assess the Perceptions of Branding Initiatives in Higher Education Survey tool that was created for this study; and

8. Investigate institutions that have implemented brand initiatives that do not utilize one of the three agencies listed in this study (SMA, CLC, or LRG).

The researcher provided an understanding of effects of branding within corporations in the literature review. Aforementioned, although branding a product is not directly related to branding in higher education, the results of the study have provided similarities that should be considered. In particular, the research offered possible assistance to higher education institutions to meet the challenges of increasing costs,

decreasing funding support from the state and federal government, enrollment

management, along with creating strategies for increasing their endowment. However,

existing knowledge on the effects branding has on corporations paired with the findings

of the impact branding has on higher education can be directly applied for success in the

higher education sector and is suggested to be further investigated.

The second recommendation regarding investigating student perspectives is

essential because the implementation of brand initiatives is typically executed in order to

encourage students to attend a specific institution. Bonnema and Van der Waldt (2008)

confirmed, "little is known about prospective students' information needs when deciding

which institution to attend" (p. 314).

> For example, what information do the students wish to receive throughout the
> decision-making period and do they prefer one type of information source above
> another? Should institutions segment their recruitment market according to the
> specific characteristics of their customers or is one type of communication
> strategy suitable for all? (Moogan, 2010, p. 574)

Research in this area will provide educators with more specific information about what

has been a successful tactic in the students' viewpoint.

The third recommendation suggests a replica of the study with a larger sample

size. Completing the current study with a larger sample size can provide a greater

generalization to the current population. This would ultimately make the study's

significance that much greater than the current standing.

The fourth recommendation of incorporating a qualitative-research-method piece

to the current study could provide more in depth comprehensive findings than the ones

presented in this study. Qualitative research specifically asks "broad, general questions;

collects data consisting largely of words (or text) from participants; describes and
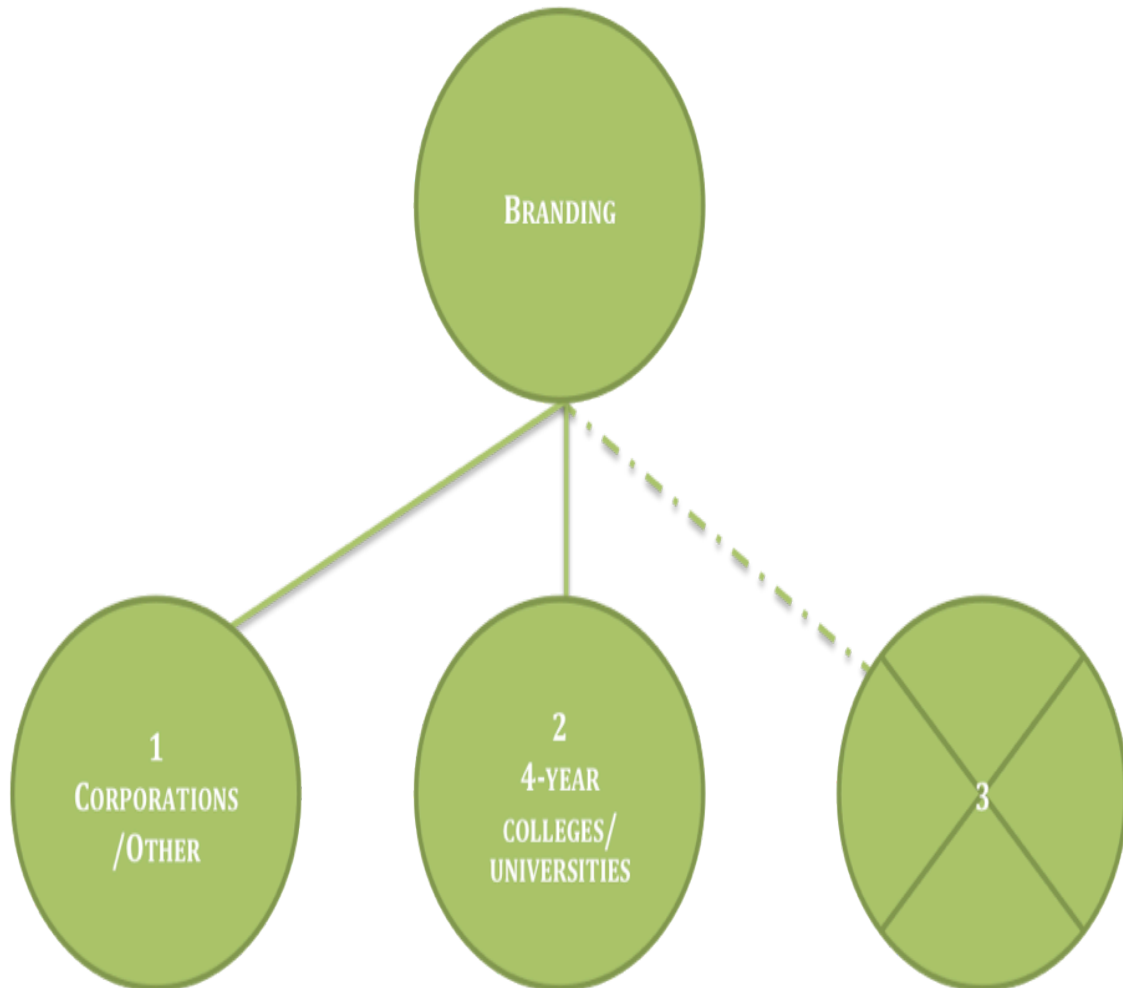
analyzes these words for themes; and conducts the inquiry in a subjective, biased

manner" (Creswell, 2008, p. 46). Executing an additional research design such as

qualitative research will provide additional substance in detail and may provide a clearer

understanding of the new phenomenon, branding in higher education. M. E. Collins

(2011) quoted Moore, president and CEO of the marketing-communications firm Lipman

Hearne, "Historically, higher education has been skeptical about marketing" (p. 1). A

qualitative study in addition to the quantitative portion could specifically provide

documentation on why branding efforts positively impact campus identity and

institutional enrollment. Further, the qualitative method can provide added research

reflecting the essential reasons branding programs are effective, while distinguishing

which particular initiatives are most effective for institutions.

Unlike the aforementioned 4-year institutions, the community-college sector of

higher education is not known globally. Rather, community colleges are known within

the community in which they reside. Consequently, additional research in regards to the

lack of a clear college identity for community members to identify 2-year colleges

compared to four-year universities should be completed. As the literature has stated in

Chapter II, Review of the Literature, branding has made a clear connection in (1)

organizations and other entities and (2) educational institutions, specifically 4-year

colleges and universities. Yet, (3) there seems to be a disconnection between the

significance of branding in the community-college sector (see Figure 5).

Community colleges were primarily developed to serve students within the

community in which they reside and since then have had a significant growth in the

number of institutions, academic programs, as well as in enrollment. In 1960 community

colleges became a national network with 457 public community colleges, however, by 1998 the number increased to 1,166 community colleges in the United States (American Association of Community Colleges, 2011). Specifically, in California alone there are 112 community colleges serving 2.9 million students. "The California Community Colleges is the largest higher education system in the nation" (California Community Colleges Chancellor's Office, 2010). Vaughan (2006) stated that "community colleges serve as cultural, social, and intellectual hubs in their communities," yet their growth has included a number of community colleges now offering bachelor's degrees as well.

Originally the community-college sector was developed in 1901 with a specific mission to respond to its community and workforce needs within the community by providing an associates degree as the highest achievement. However, community colleges have since grown markedly, becoming "a center for educational opportunity" for all (American Association of Community Colleges, 2011), while "training people to work in the global economy" (Vaughan, 2006, p. 1).

Figure 5: Branding in relation to (1) corporations, (2) 4-year colleges and universities, and (3) community colleges.

The aforementioned example, presented in Chapter I, regarding the essence of branding at a university, such as the University of Oregon and University of California, Los Angeles, is a specific illustration of the potential identity that can also be developed within community colleges in order to provide a sense of belonging for the institution's community, including, but not limited to, administrators, faculty, staff, students, and alumni. Based on the small number of community colleges that have implemented branding initiatives, surrounding communities have little college identity with which to

associate themselves. "Consequently, a flight to quality may mean not only a flight to quality of earnings, but to quality of reputation and brand" (Heeger, 2005, p. 57). Branding at the community-college level could potentially increase an institution's reputation, especially in the State of California. The researcher proposes that more research needs to be completed in this area.

Additionally, according to the sixth area for future research, the researcher believes that more research needs to be completed on the impact of branding efforts by institution type. Specifically, the study does not differentiate between California State Universities, Universities of California, private universities, community colleges, and for-profit institutions. Each sector of education is structured differently, each has different missions, and each serves different student populations. For example, Moore (2004) wrote,

> Private colleges and universities are battling the combined pressures of sticker shock and tuition discounting. The cost is causing many families not to consider the private option. … Public comprehensive universities are competing on two fronts—on the price side with community colleges that don't have to support the range of activities that define a traditional four-year institution, and on the reputation side with private institutions that in many cases have a head start … by motivated students. … For all nonprofit higher education institutions, the impact of increasing for-profit competition is becoming more apparent: The number of traditional-age college students will shrink over the next decade, and the adult/continuing education marketplace is becoming more important to the bottom line (p. 49).

Consequently, assuming the above, it is safe to presume that brand initiatives may be implemented and/or perceived differently in each division of education.

The researcher also feels additional studies testing the psychometric properties of the developed Perceptions of Branding in Higher Education survey instrument need to be

conducted. Further investigation in this area can enhance the study, in addition to future studies, by ensuring that the instrument is valid and reliable.

Lastly, the researcher believes further investigation needs to be completed on institutions that have implemented brand initiatives independently without the assistance of one of the three licensing agencies mentioned in this study: SMA, CLC, or LRG. As mentioned above, there are 399 colleges and universities in the State of California (Tellefsen, 2011) in all sectors of higher education. Additionally, only 25 of the 399, in the state of California, were asked to participate in the study. SMA represents 7 of the 25 institutions, while CLC represents 6 institutions, and LRG represents 12. The current research utilizes uses institutions that received support from one of the above agencies in order to ensure there was an existing trademark program or brand initiative implemented. Expanding the research to the 374 schools outside of those that received help would enrich the study to encompass a more generalized outcome for the specific population.

Conclusion

The purpose of this study was to examine the ascribed importance and perceived impact of branding initiatives in higher education. More specifically, the study investigated the elements of 4-year college and university branding initiatives in California. Additionally, the study's purpose was to validate the newly developed instrument for internal consistency.

In conclusion, the findings from this study are significant in providing additional knowledge about branding in higher education. Moore (2010) defended, "When configured and managed well, a brand can be the key element in raising everybody's perception of value—a critical factor in shepherding the bottom line" (p. 49). For

practitioners, the knowledge and awareness of the benefits of branding initiatives is important when they can positively affect an institution as a whole. This particular study has clearly provided significance for the implementation of brand initiatives in higher education.

Further, "understanding what your constituents want from you and where they place you in their value system is what a brand is all about" (Moore, 2010, p. 49). Within the past few years, the benefits of brand development on products in the business field, along with the increased competition in higher education, is becoming more familiar and successful within higher education.

> At the heart of the brand experience is a relationship between an individual who opens the door to possible engagement with an institution and the institution that responds most effectively and appropriately to that invitation … the level of awareness a product commands in the minds of consumers. (Moore, 2010, p. 46)

The implications of branding initiatives in higher education are shown to be beneficial in the overall success of an institution's identity, enrollment, marketing strategies, and recognition. These four findings are all important aspects of every sector in higher education and have the potential to be used as a positive model for institutions that are debating whether to implement and build on a trademark program.

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APPENDICES

Appendix A: Perceptions of Branding in Higher Education Survey Instrument

Perceptions of Branding in Higher Education

Exit this survey

1. Perceptions of Branding in Higher Education

Dear Survey Participants,

In the following electronic survey you will be asked to share your perceptions about branding initiatives at the institution/organization that you either work for or with. The purpose of the study is to examine and explore what elements of four-year college and university branding initiatives may be beneficial to the community college sector. For the purpose of this survey, branding should be understood as the marketing of a product or service that clearly make a distinction from others (Etzel, et. al., 2006, p. 259). "Branding is part of the promotional aspect of marketing and is extremely important to the image, reputation, and success of a product or company (Rosenthal, 2003, p. 8).

The survey consists of 5 parts (37 questions) that should not exceed any more than 15-20 minutes of your time. Please complete by [DATE]. Although the survey will be confidential, your responses will appear only in the aggregate.

Thank you in advance for participating in the survey!

1. Contact Information

Gender:	
Institution/Organization:	
Address:	
City/State/Zip:	
Position:	
Number of years you have worked in your current position:	
Phone:	
Email:	

2. Identity, Environment

	Strongly Disagree	Disagree	Agree	Strongly Agree
1. Students, personnel, alumni, and/or community would define the brand of your institution in a similar manner.				
2. The brand of your institution is clear and apparent to your institutions community (students, personnel, alumni,				

and/or community).

3. The environment of your institution is guided by branding initiatives.

4. Students/Customers easily identify and relate to the brand created by the institution.

5. Your institution educates students, personnel, alumni, and/or community on the importance of their brand and branding.

6. The brand of your institution is prevalent during outreach, registration, on campus events, and other communications encouraging student, faculty, and/or alumni involvement/participation.

3. Enrollment

	Strongly Disagree	Disagree	Agree	Strongly Agree
1. There are trademark crests on your campus/site that reflect the identity of the institution.				
2. All members of your institution take pride in the institutions identity.				
3. Branding has been an important aspect of your institution.				
4. Branding has helped your institution with student/customer recruitment.				
5. Your institutions brand has had a negative impact on retention of students/customers.				
6. Your institutions crest/tagline is synonymous with the institution.				
7. Branding has been effective at increasing national awareness.				
8. Branding has been effective at increasing the popularity and dominance of social networking sites (i.e. facebook, twitter, myspace, etc).				

4. Planning, Budgeting, Revenue

	Strongly Disagree	Disagree	Agree	Strongly Agree
1. Branding has helped your institution with visibility.				
2. Branding has helped market your institution.				
3. It is important for educational institutions to have designated Trademark managers.				
4. It is important for educational institutions to invest in a branding campaign.				

5. Branding your institutions has been a waste of funds for the institution.

6. Creating a recognizable brand for the institution translates in all areas of education (student i.d. cards, website, regalia, etc).

7. Branding is part of your strategic plan and budgeting process at your institution.

5. Community Colleges

	Strongly Disagree	Disagree	Agree	Strongly Agree
1. Branding can help community colleges with visibility.				
2. Community colleges should mark their brand.				
3. The community college branding could be prevalent during outreach, registration, on campus events, and other communications.				
4. Branding could help community colleges with student recruitment.				
5. It would be important for community colleges to have a designated person to engage with the management of the trademark(s).				
6. Creating a recognizable brand for community colleges would translate in all areas of education (student i.d. cards, website, regalia, etc.)				
7. Branding should be part of a community colleges strategic plan and budgeting process.				

Done

Powered by **SurveyMonkey**
Create your own free online survey now!

Appendix B: Researcher's Bill of Rights

UNIVERSITY OF SAN FRANCISCO

CONSENT TO BE A RESEARCH SUBJECT

Research subjects can expect:

1. To be told the extent to which confidentiality of records identifying the subject will be maintained and of the possibility that specified individuals, internal and external regulatory agencies, or study sponsors may inspect information in the medical record specifically related to participation in the clinical trial.
2. To be told of any benefits that may reasonably be expected from the research.
3. To be told of any reasonably foreseeable discomforts or risks.
4. To be told of appropriate alternative procedures or courses of treatment that might be of benefit to the subject.
5. To be told of the procedures to be followed during the course of participation, especially those that are experimental in nature.
6. To be told that they may refuse to participate (participation is voluntary), and that declining to participate will not compromise access to services and will not result in penalty or loss of benefits to which the subject is otherwise entitled.
7. To be told about compensation and medical treatment if research related injury occurs and where further information may be obtained when participating in research involving more than minimal risk.
8. To be told whom to contact for answers to pertinent questions about the research, about the research subjects' rights and whom to contact in the event of a research-related injury to the subject.
9. To be told of anticipated circumstances under which the investigator without regard to the subject's consent may terminate the subject's participation.
10. To be told of any additional costs to the subject that may result from participation in the research.
11. To be told of the consequences of a subjects' decision to withdraw from the research and procedures for orderly termination of participation by the subject.
12. To be told that significant new findings developed during the course of the research that may relate to the subject's willingness to continue participation will be provided to the subject.
13. To be told the approximate number of subjects involved in the study.
14. To be told what the study is trying to find out;
15. To be told what will happen to me and whether any of the procedures, drugs, or devices are different from what would be used in standard practice;
16. To be told about the frequent and/or important risks, side effects, or discomforts of the things that will happen to me for research purposes;

17. To be told if I can expect any benefit from participating, and, if so, what the benefit might be;
18. To be told of the other choices I have and how they may be better or worse than being in the study;
19. To be allowed to ask any questions concerning the study both before agreeing to be involved and during the course of the study;
20. To be told what sort of medical or psychological treatment is available if any complications arise;
21. To refuse to participate at all or to change my mind about participation after the study is started; if I were to make such a decision, it will not affect my right to receive the care or privileges I would receive if I were not in the study;
22. To receive a copy of the signed and dated consent form; and
23. To be free of pressure when considering whether I wish to agree to be in the study

If I have other questions, I should ask the researcher or the research assistant. In addition, I may contact the Institutional Review Board for the Protection of Human Subjects (IRBPHS), which is concerned with protection of volunteers in research projects. I may reach the IRBPHS by calling (415) 422-6091, by electronic mail at IRBPHS@usfca.edu, or by writing to USF IRBPHS, Department of Counseling Psychology, Education Building, 2130 Fulton Street, San Francisco, CA 94117-1080.

Appendix C: Informed Consent

INFORMED CONSENT FORM

UNIVERSITY OF SAN FRANCISCO
CONSENT TO BE A RESEARCH SUBJECT

Purpose and Background

Ms. Joy Lamboy, a graduate student in the School of Education at the University of San Francisco is doing a study on the ascribed importance and perceived effects of branding initiatives in higher education. The study intends to specifically investigate the elements of four-year college and university branding initiatives that may be beneficial to the community college sector.

I am being asked to participate because I work in the Trademark Licensing Department at a college or university in California. I have been selected to participate in the study based on my role and experiences within in the trademark licensing field.

Procedures

If I agree to be a participant in this study, the following will happen:

1. I will complete a short questionnaire giving basic information about me, including age, gender, race, and job history.

2. I will complete a survey about my perceptions of branding in higher education.

Risks and/or Discomforts

It is possible that some of the questions on Perceptions of Branding in Higher Education survey may make me feel uncomfortable, but I am free to decline to answer any questions I do not wish to answer or to stop participation at any time.

Participation in research may mean a loss of confidentiality. Study records will be kept as confidential as is possible. No individual identities will be used in any reports or publications resulting from the study. Study information will be coded and kept in locked files at all times. Only study personnel will have access to the files.

Benefits

There will be no direct benefit to me from participating in this study. The anticipated benefit of this study is a better understanding of the perceptions of branding initiatives in higher education.

Costs/Financial Considerations

There will be no financial costs to me as a result of taking part in this study.

Payment/Reimbursement

There will not be any reimbursement/compensation to any of the participants.

Questions

If I have further questions about the study, I may call Joy Lamboy at (XXX) XXX-XXXX by phone or by email: jvlamboy@dons.usfca.edu. If for some reason I do not wish to do this, I may contact the IRBPHS, which is concerned with protection of volunteers in research projects. I may reach the IRBPHS office by calling (415) 422-6091 and leaving a voicemail message, by e-mailing IRBPHS@usfca.edu, or by writing to the IRBPHS, Department of Psychology, University of San Francisco, 2130 Fulton Street, San Francisco, CA 94117-1080.

Consent

I have been given a copy of the "Research Subject's Bill of Rights" and I have been given a copy of this consent form to keep.

PARTICIPATION IN RESEARCH IS VOLUNTARY. I am free to decline to be in this study, or to withdraw from it at any point. My decision as to whether or not to participate in this study will have no influence on my present or future status as a student or employee at USF.

My signature below indicates that I agree to participate in this study.

Subject's Signature	Date of Signature

Signature of Person Obtaining Consent	Date of Signature

Appendix B: Consent Form Email

Dear Participant,

Thank you for talking with me today and agreeing to participate in my study. As I mentioned, I am attaching the Informed Consent Form. Review the form and provide your signature in the designated area on the bottom of the form. Please return the form to me by [DATE]. Once I receive the Informed Consent Form I will be able to send the online survey link that should not exceed anymore than 15 minutes of your time. The consent form may be scanned and emailed back to me or it can be faxed to the following number: XXX-XXX-XXXX. Please contact me if you have any questions. Thank you again for participating in my study!

Kind Regards,

Joy Lamboy
Doctoral Student
University of San Francisco
XXX-XXX-XXXX

Appendix E: Introduction to Survey Email

Dear Participant,

Thank you for taking my call the other day and for submitting your Informed Consent form. To reiterate, the purpose of my study is to examine the ascribed importance and perceived effects of branding initiatives in higher education. This study intends to specifically examine the perceptions of elements within four-year college and university branding initiatives in California.

You have been selected to participate in the study based on your role and experiences within in the field. Your valued perception of branding has a firmer basis in reflective consideration than someone less involved in the process of trademark licensing.

Per our discussion, you will complete and submit an on-line survey that is maintained by Survey Monkey. Please use the following link to access the survey https://www.surveymonkey.com/s/perceptionsofbranding and complete by [DATE]. For purposes of this survey and study, branding should be understood as the marketing of a produce or service that clearly makes a distinction from others (Etzel, et. al., 2006, p. 259). "Branding is part of the promotional aspect of marketing and is extremely important to the image, reputation, and success of a product or company" (Rosenthal, 2003, p. 8). The survey consists of five parts (37 questions) that should not exceed any more than 15 minutes of your time. Although the survey will be confidential, your responses will appear only in the aggregate. If you have any questions please do not hesitate to contact me.

Thank you in advance for participating in the survey!

Regards,

Joy Lamboy
Doctoral Student
University of San Francisco
XXX-XXX-XXXX

Appendix F: Follow-up Email to Participants

Dear Participants,

Again, thank you for your willingness to participate in my study regarding the perceived effects branding initiatives may have in higher education. This email is a reminder that the online survey instrument is in your inbox and may also be found on the following link: https://www.surveymonkey.com/s/perceptionsofbranding. The survey consists of five parts (37 questions) that should not exceed any more than 15 minutes of your time. Please complete the survey by [DATE].

Kind Regards,

Joy Lamboy
Doctoral Student
University of San Francisco

Appendix G: Human Subjects Approvals

University of San Francisco

Mail **Calendar** **Documents** **Sites**   jvlamboy@dons.usfca.edu | **Settings** | **Help** | **Report a bug** | **Sign out**

| | Search Mail | Search the Web | Show search options / Create a filter |

Fool.com Headlines - Exploring for Water - 1 hour ago   Web Clip ‹ ›

Mail
Contacts
Tasks

« Back to Inbox | Archive | Report spam | Delete | | Move to | Labels | More actions |

Compose mail

‹ **Newer**   **2** of **1168**   **Older ›**

Inbox (1120)
Starred
Important
Chats
Sent Mail
Drafts
All Mail
Spam
Trash

Signed Consent
More▼

Joy V Lamboy
Search, add, or invite

IRB Application #11-017 - Full Approval   X   Inbox   X

New window
Print all

USF IRBPHS to r show details Jun 9 (7 days ago)   Reply

June 9, 2011

Dear Ms. Lamboy:

The Institutional Review Board for the Protection of Human Subjects (IRBPHS)
at the University of San Francisco (USF) has reviewed your request for human
subjects approval regarding your study.

Your application is now fully approved by the committee (IRBPHS #11-017). Please
note the following:

1. Approval expires twelve (12) months from the dated noted above. At that
time, if you are still in collecting data from human subjects, you must file
a renewal application.

2. Any modifications to the research protocol or changes in instrumentation
(including wording of items) must be communicated to the IRBPHS.
Re-submission of an application may be required at that time.

3. Any adverse reactions or complications on the part of participants must
be reported (in writing) to the IRBPHS within ten (10) working days.

If you have any questions, please contact the IRBPHS at (415) 422-6091.

On behalf of the IRBPHS committee, I wish you much success in your research.

Sincerely,

Terence Patterson, EdD, ABPP
Chair, Institutional Review Board for the Protection of Human Subjects
----
IRBPHS – University of San Francisco
Counseling Psychology Department
Education Building – Room 017
2130 Fulton Street
San Francisco, CA 94117-1080
(415) 422-6091 (Message)
(415) 422-5528 (Fax)
irbphs@usfca.edu
----
http://www.usfca.edu/soe/students/irbphs/

California State University Monterey Bay

CALIFORNIA STATE UNIVERSITY
Monterey Bay
GRANTS & CONTRACTS
Committee for the Protection of Human Subjects

HUMAN SUBJECTS RESEARCH
EXTERNAL RESEARCHER AGREEMENT

<u>Instructions</u>: Complete, sign, and **submit to the Office of Grants & Contracts, Alumni & Visitor Center (Bldg. 97), 100 Campus Center, Seaside CA, 93955.** Your materials may be submitted electronically (fax or email) but approval to proceed will not be authorized until the original, signed copy of the agreement form is received and on file. If you have any questions, please call (831)582-5130 or email CPHS@csumb.edu.

External Researcher's Name: Joy Lamboy   **Email Address:** jvlamboy@dons.usfca.edu
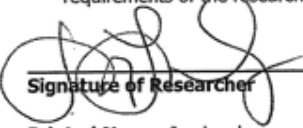
Project / Research Title: Implications of Branding Initiatives in Higher Education

Required Attachments:
1. ☒ **Approved Protocol** from an FWA assured external institution University of SanFrancisco
   Name of Institution with FWA: **FWA# (if known):** 0000224
2. ☒ **Approval Notification** from the external institution's registered IRB
   External IRB Contact Information if not clearly stated on the submission materials:
3. ☒ **Certification of Training** in human subjects research protections

---

(1) The above-named Individual Researcher has reviewed: 1) *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research* (or other internationally recognized equivalent; see section B.1. of the Terms of the Federalwide Assurance (FWA) for International (Non-U.S.) Institutions); 2) the U.S. Department of Health and Human Services (HHS) regulations for the protection of human subjects at 45 CFR part 46 (or other procedural standards; see section B.3. of the Terms of the FWA for International (Non-U.S.) Institutions); 3) the FWA and applicable Terms of the FWA for the institution referenced above; and 4) the relevant institutional policies and procedures for the protection of human subjects.

(2) The Researcher understands and hereby accepts the responsibility to comply with the standards and requirements stipulated in the above documents and to protect the rights and welfare of human subjects involved in research conducted under this Agreement.

(3) The Researcher will comply with all other applicable federal, international, state, and local laws, regulations, and policies that may provide additional protection for human subjects participating in research conducted under this agreement.

(4) The Researcher will abide by all determinations of the Institutional Review Board (IRB) designated under the above FWA and will accept the final authority and decisions of the IRB, including but not limited to directives to terminate participation in designated research activities.

(5) The Researcher will complete any educational training required by the Institution and/or the IRB prior to initiating research covered under this Agreement.

(6) The Researcher will report promptly to the IRB any proposed changes in the research conducted under this Agreement. The researcher will not initiate changes in the research without prior IRB review and approval, except where necessary to eliminate apparent immediate hazards to subjects.

(7) The Researcher will report immediately to the IRB any unanticipated problems involving risks to subjects or others in research covered under this Agreement.

(8) The Researcher, when responsible for enrolling subjects, will obtain, document, and maintain records of informed consent for each such subject or each subject's legally authorized representative as required under HHS regulations at 45 CFR part 46 (or any other international or national procedural standards selected on the FWA for the institution referenced above) and stipulated by the IRB.

(9) The Researcher acknowledges and agrees to cooperate in the IRB's responsibility for initial and continuing review, record keeping, reporting, and certification for the research referenced above. The Researcher will provide all information requested by the IRB in a timely fashion.

(10) The Researcher will not enroll subjects in research under this Agreement prior to its review and approval by the IRB.

(11) Emergency medical care may be delivered without IRB review and approval to the extent permitted under applicable federal regulations and state law.

(12) This Agreement does not preclude the Researcher from taking part in research not covered by this Agreement.

(13) The Researcher acknowledges that he/she is primarily responsible for safeguarding the rights and welfare of each research subject, and that the subject's rights and welfare must take precedence over the goals and requirements of the research.

_____   4/11/11
Signature of Researcher   **Date**

Printed Name: Joy Lamboy
Address: (Address, City and Zip Code) 615A Canyon Oaks Drive, Oakland, CA 94605
Phone Number: (including area code) 925-207-4207
Other Information: (as appropriate) jvlamboy@dons.usfca.edu

CPHS Authorization

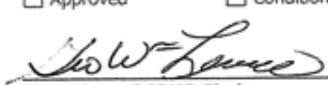**Verification of Named Institution Federalwide Assurance (FWA):**
☒ Print out of OHRP Approved Assurance (from: http://ohrp.cit.nih.gov/search/) attached.
☐ Other (specify): _____

☐ Approved   ☐ Conditionally Approved (see Comments)   ☐ Disapproved (see Comments)

_____   04/13/11
Signature of CPHS Chair   **Date**

Comments:

California State University San Bernardino

CALIFORNIA STATE UNIVERSITY
SAN BERNARDINO

Academic Affairs

Office of Academic Research • Institutional Review Board

May 08, 2011

Ms. Joy Lamboy
c/o: Prof. Eric Newman
Department of Marketing
California State University
5500 University Parkway
San Bernardino, California 92407

| CSUSB |
| **INSTITUTIONAL** |
| **REVIEW BOARD** |
| Administrative Review |
| IRB# 10082 |
| Status |
| **APPROVED** |

Dear Ms. Lamboy:

Your application to use human subjects, titled, "Implications of Branding Initiatives in Higher Education in California" has been reviewed and approved by the Chair of the Institutional Review Board (IRB) of California State University, San Bernardino and concurs that your application meets the requirements for exemption from IRB review Federal requirements under 45 CFR 46. As the researcher under the exempt category you do not have to follow the requirements under 45 CFR 46 which requires annual renewal and documentation of written informed consent which are not required for the exempt review category. However, exempt status still requires you to attain consent from participants before conducting your research.

The CSUSB IRB has not evaluated your proposal for scientific merit, except to weigh the risk to the human participants and the aspects of the proposal related to potential risk and benefit. This approval notice does not replace any departmental or additional approvals which may be required.

Although exempt from federal regulatory requirements under 45 CFR 46, the CSUSB Federal Wide Assurance does commit all research conducted by members of CSUSB to adhere to the Belmont Commission's ethical principles of respect, beneficence and justice. You must, therefore, still assure that a process of informed consent takes place, that the benefits of doing the research outweigh the risks, that risks are minimized, and that the burden, risks, and benefits of your research have been justly distributed.

You are required to do the following:

1) Protocol changes must be submitted to the IRB for approval (no matter how minor) before implementing in your prospectus/protocol. Protocol Change Form is on the IRB website.
2) If any adverse events/serious adverse/unanticipated events are experienced by subjects during your research. Form is on the IRB website.
3) And, when your project has ended.

Failure to notify the IRB of the above, emphasizing items 1 and 2, may result in administrative disciplinary action.

If you have any questions regarding the IRB decision, please contact Michael Gillespie, IRB Compliance Coordinator. Mr. Michael Gillespie can be reached by phone at (909) 537-7588, by fax at (909) 537-7028, or by email at mgillesp@csusb.edu. Please include your application identification number (above) in all correspondence.

Best of luck with your research.

Sincerely,

Sharon of Ward, Ph.D

Sharon Ward, Ph.D, Chair
Institutional Review Board

SW/mg

cc: Prof. Eric Newman, Department of Marketing

909.537.7588 • fax: 909.537.7028 • http://irb.csusb.edu/
5500 UNIVERSITY PARKWAY, SAN BERNARDINO, CA 92407-2393

California State University Channel Islands

IRB Authorization Agreement

Name of Institution or Organization Providing IRB Review (Institution A):
University of San Francisco

OHRP Federalwide Assurance (FWA) #: FWA00002248

IRB Registration #:   **IRB00002083**

Name of Institution Relying on the Designated IRB (Institution B):
California State University at Channel Islands

OHRP Federalwide Assurance (FWA) #:   00006448

The Officials signing below agree that the California State University at Channel Islands may rely on the University of San Francisco for review and continuing oversight of its human subject research described below:

This agreement is limited to the following specific protocol(s):

Name of Research Project: "Implications of Branding Initiatives in Higher Education in California"

Name of Principal Investigator: *Joy Lamboy*

Sponsor or Funding Agency: NA   Award Number, if any: NA

The review and continuing oversight performed by the designated IRB will meet the human subjects protection requirements of Institution B's OHRP-approved FWA. The IRB at Institution A will follow written procedures for reporting its findings and actions to appropriate officials at Institution B. Relevant minutes of IRB meetings will be made available to Institution B upon request. Institution B remains responsible for ensuring compliance with the IRB's determinations and with the terms of its OHRP-approved Assurance. IRB at Institution B retains the right to review and approve any manuscripts resulting from this research 60 days prior to submission for publication. This document must be kept on file at both institutions and provided to OHRP upon request.

Signature of Signatory Official (Institution A): *Terence Patterson* Date: 6/6/11
Print Full Name: Terence Patterson
Institutional Title: IRB Co-Chair

Signature of Signatory Official (Institution B): Date: 6-7-11
Print Full Name: Dawn Neuman
Institutional Title: Provost and Vice President for Academic Affairs

California State University Dominguez Hills

CSUDH Institutional Review Board
for the Protection of Human Subjects in Research

Date:	**May 18, 2011**
To:	**Lynne Cook, Joy Lamboy** **CC: File**
From:	**Irina Gaal, Chair** **CSUDH Institutional Review Board (IRB)**
Subject:	**11-100 Implications of Branding Initiatives in Higher Education in California** *Approval Dates: May 18, 2011 – May 17, 2012*

The IRB at California State University, Dominguez Hills is pleased to inform you that it has reviewed your project and will honor the approval of the University of San Francisco.

Your study is approved for one year beyond which time you must seek approval for a continuation of your study. Procedural changes or amendments must be reported to the IRB and no changes may be made without IRB approval except to eliminate apparent immediate hazards.   Please notify the Office of Research and Funded Projects (a) if there are any adverse events that result from your study, and (b) when your study is completed.

If you have any questions, you may contact the Office of Research and Funded Projects at (310) 243-3756.

Thank you.

Subject recruitment and data collection may not be initiated prior to formal written approval from the IRB Human Subjects Committee

Loyola Marymount University

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IRB Approval (Lamboy)   X   Inbox   X

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Carfora, John M. to me, mitchell   show details May 26 (2 days ago)   Reply

May 26, 2011

Dear Ms. Lamboy,

Thank you for submitting your IRB application for the study titled *Implications of Branding Initiatives in Higher Education in California*.

All documents have been reviewed and I am pleased to inform you that your project has been approved.

The effective date of your approval is May 26, 2011-May 25, 2012. If you wish continue your project beyond the effective period, you must submit a renewal application to the IRB prior to April 1, 2012. In addition, if there are any changes to your protocol, you are required to submit an addendum application.

For any further communication regarding you approved study, please reference your new protocol number: LMU IRB 2011 S-57.

Please note that should you make any changes to the Protocol, you must bring that to the attention of the IRB **before** you administer the survey to participants.

Please contact me if you have any questions, and best wishes for a successful research project.

John M. Carfora

John M. Carfora, Ed.D.
Associate Vice President for Research
   Advancement and Compliance
Office of Academic Affairs
Loyola Marymount University
1 LMU Drive, Suite 4818
Los Angeles, CA 90045-2659
Telephone: 310-338-6004
E-Mail: jcarfora@lmu.edu
Web Address: www.lmu.edu/orsp

cc: Dr. Patricia Mitchell (Faculty Sponsor)

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California State University Bakersfield

CSU Bakersfield

Academic Affairs

Office of the Grants, Research, and Sponsored Programs (GRaSP)

Mail Stop: 24 DDH Room 108
9001 Stockdale Highway
Bakersfield, California 93311-1022

(661) 654-2231
(661) 654-3342 FAX
www.csub.edu

Anne Duran, Ph
Department of Psychology
Scientific Concerns

Roseanna McCleary, Ph.D.
Masters of Social Work
Scientific Concerns

Thomas Blommers, Ph.D.
Department of Modern Languages
Nonscientific/Humanistic Concerns

Lily Alvarez, B.A
Kern County Mental Health
Community Issues/Concerns

Grant Hern
Schools Legal Service
Community Issues/Concerns

Tommy W. Tunson, J.D
Criminal Justice
Community Issues/Concerns

Kathleen Gilchrist, Ph.D.
Department of Nursing
Scientific Concerns

Paul Newberry, Ph.D.
Department of Philosophy/
Religious Studies
Nonscientific/Humanistic Concerns
IRB/HSR Chair

Yeunjoo Lee, Ph.D.
Advanced Educational Studies
Nonscientific/Humanistic Concerns

Steve Suter, Ph.D.
Department of Psychology
Research Ethics Review Coordinator
and IRB/HSR Secretary

Institutional Review Board for Human Subjects Research

Date: 26 April 2011

To: Joy V. Lamboy, USF, School of Education Student

cc: Paul Newberry, IRB Chair
Patricia Mitchell, USF, School of Education

From: Steve Suter, University Research Ethics Review Coordinator

Subject: **Protocol 11-73: Authorization Following Exemption from Full Review**

I am pleased to inform you that your protocol, **"Implications of Branding Initiatives in Higher Education in California"**, has been approved, following exemption from full review. This research activity was exempted as defined in Paragraph 46.101 of Title 45, *Code of Federal Regulations* based on the following criteria: (1) Research involving the use of [standardized] educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, <u>UNLESS</u>: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects, and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. Approval is based on your materials received on 4-12-11 and your revisions and clarifications in response to IRB reviewer comments completed on 4-25-11.
This authorization is strictly limited to the specific activities that have been authorized by the IRB. If you want to modify these activities, notify the IRB in advance so proposed changes can be reviewed. If you have any questions, or there are any unanticipated problems or adverse reactions, please contact me immediately.

The following person[s], only, are authorized to interact with subjects in collecting data, with data containing personal identifiers, or in obtaining informed consent. Investigator is responsible for ensuring that any research assistants interacting with data having personal identifiers are HSPT certified.

Human Subjects Protection Training Certified:
Joy V. Lamboy [4-21-09]

Any signed consent documents must be retained for at least three years to enable research compliance monitoring and in case of concerns by research participants. Consent forms may be stored longer at the discretion of the principal investigator [PI].The PI is responsible for retaining consent forms. If the PI is a student, the faculty supervisor is responsible for the consent forms. The consent forms must be stored so that only the authorized investigators or representatives of the IRB have access. At the end of the retention period the consent forms must be destroyed [not re-cycled or thrown away]. Please destroy all audio tapes after scoring.

This authorization will be valid until the end of March 2012.

University of California Berkeley

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Joy V Lamboy
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Joy V Lamboy	To Whom It May Concern, I am a doctoral student at University of San Francisc...	9:26 AM (3 hours ago)
Joy V Lamboy	Hi Cathie, Thank you for taking my call today. As I mentioned to you earlier,...	9:48 AM (2 hours ago)
Mail Delivery Subsystem	Delivery to the following recipient failed permanently: cathies@csufresno.eud:	9:48 AM (2 hours ago)
Joy V Lamboy	Hi Cathie, Thank you for taking my call today. As I mentioned to you earlier,...	9:49 AM (2 hours ago)

Office for the Protection of Human Subjects to me   show details 10:07 AM (2 hours ago)   Reply

Dear Joy,

Thank you for your message. As long as there are no UCB investigators engaged in the research, you do not need IRB approval from our office. We only provide IRB review to investigators affiliated with UC Berkeley.

Sincerely,

Adrienne, Analyst

- Show quoted text -

-- Office for the Protection of Human Subjects University of California, Berkeley 2150 Shattuck Ave., Suite 313 Berkeley, CA 94704 510-642-7461 510-643-6272 fax ophs@berkeley.edu http://cphs.berkeley.edu

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University of California Davis

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Joy V Lamboy
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Joy V Lamboy	To Whom It May Concern, I am a doctoral student at University	Apr 28
Joy V Lamboy	Hi Cathie, Thank you for taking my call today. As I mentioned t	Apr 28
Mail Delivery Subsystem	Delivery to the following recipient failed permanently: ca	Apr 28
Joy V Lamboy	Hi Cathie, Thank you for taking my call today. As I mentioned t	Apr 28
Office for the Protection of Human Subjects	Dear Joy, Thank yo	Apr 28 (13 days ago)
Joy V Lamboy	Hi Carmen, Thank you for taking my call today	11:43 AM (1 hour ago)

Carmen Sprow to me   show details 11:51 AM (1 hour ago)   Reply

Hi Joy,

UC Davis IRB Review and Approval is not required, UC Davis is not engaged in the Human Subjects Research.

Cheers,
Carmen Sprow
Analyst, IRB Administration
University of California, Davis
Email: carmen.sprow@ucdmc.ucdavis.edu
Phone: 916-703-9163
http://research.ucdavis.edu//home.cfm?id=OVC.1

From: Joy V Lamboy <jvlamboy@dons.usfca.edu>
To: carmen.sprow@ucdmc.ucdavis.edu
Date: 05/11/2011 11:43 AM
Subject: External Researcher Confirmation
_____

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[attachment "IRB Docs.pdf" deleted by Carmen Sprow/EXT/HS/UCD]

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[   ]

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California Polytechnic State University

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Conditional Human Subjects Approval at Cal Poly   Inbox   x

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Steve Davis to me, mitchell   show details Apr 15 (10 days ago)   [Reply]

Dear Joy,

I am pleased to inform you that your proposal, "Branding Initiatives in Higher Education in California", has been conditionally approved by the Cal Poly Human Subjects Committee under the criteria for "Minimal Review".

The condition of approval is that you make the following changes to the informed consent form to be used with subjects who are Cal Poly employees.

1. Procedures section. Add, as a last sentence. "My participation in this research will take approximately 20 minutes."

2. Change the verbiage in the "Questions" section to:

"If I have further questions about the study, I may call Joy Lamboy at (925) 207-4207 by phone, or by email: jlamboy@onfocus.org. If I have concerts about the manner in which this study is conducted, I may contact Dr. Steve Davis, Chair of the Cal Poly Human Subjects Committee, at (805) 756-2754, sdavis@calpoly.edu, or Dr. Susan Opava, Dean of Research and Graduate Programs at Cal Poly, (805) 756-1508, sopava@calpoly.edu. I may also contact the Institutional Review Board for Protection of Human Subjects at the University of San Francisco by calling (415) 422-6091 and leaving a voicemail message, by e-mailing IRBPHS@usfca.edu, or by writing to the IRBPHS, Department of Psychology, University of San Francisco, 2130 Fulton Street, San Francisco, CA 94117-1080."

Thank you for submitting your proposal for review by the Cal Poly Human Subjects Committee, and best wishes for successful doctoral thesis research.

Sincerely,

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

Reply   Reply to all   Forward

Joy V Lamboy   Hi Dr. Davis, Thank you so much for your reply. Onc   Apr 19 (7 days ago)
Joy V Lamboy   Hi Dr. Davis, Thank you for your response to   8:42 AM (11 hours ago)

Steve Davis to me, mitchell   show details 4:55 PM (3 hours ago)   [Reply]

Dear Joy,

Your revised informed consent form for Cal Poly subjects looks good.

Best wishes for successful research.

Sincerely,

Steve Davis
Chair, Cal Poly Human Subjects Committee

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California State University Northridge

California State University
Northridge

Office of the Associate Vice President
Research and Sponsored Projects

May 18, 2011

Joy Lamboy
615A Canyon Oaks Dr.
Oakland, CA 94605

Re: "Implications of Branding Initiatives in Higher Education in California" Research
        Protocol

Dear Ms. Lamboy:

I have received your approved protocol and approval letter from the University of San
Francisco (USF). Your approval from the IRB at USF will suffice and you may conduct
your study at CSUN.

If you have any questions, call this office at 818/677-2901.

Sincerely,

Suzanne Blanding, Compliance Officer
On Behalf of
The Committee for the Protection of Human Subjects

enclosure

San Diego State University

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Joy V Lamboy
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| Joy V Lamboy | To Whom It May Concern, The attached packet of information cont: | Apr 12 |

| Joy V Lamboy | Hi Ms. Nebeker, Thank you for taking my call toda | 2:05 PM (18 hours ago) |

Camille Nebeker to **Amy**, **Choya**, **Brian** show details 4:48 PM (15 hours ago)   Reply

Dear Joy:

I reviewed the protocol application that you submitted to USF IRB. This study does not require review by the SDSU IRB since SDSU is not engaged in the research. As an aside, the consent form should be written in the "3rd person rather than 1st person and the "Research Subject's Bill of Rights" is usually only required when conducting medical experimentation.

Please let me know if you have questions.

Thank you,

Camille

Camille Nebeker
Director, Division of Research Affairs
San Diego State University
5500 Campanile Drive, MC 8220
San Diego, CA 92182

Fax: 619-594-4109
Office: 619-594-5938
E-mail: nebeker@mail.sdsu.edu
Internet: http://gra.sdsu.edu/research

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SJSU IRB Registration - S1102090   Inbox x

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Alena Filip to me   show details Apr 12 (11 days ago)   [Reply]

Joy Lamboy:

Hi Joy,

This email is to inform you that your IRB application has been registered with the San Jose State University IRB and assigned an IRB tracking number: S1102090. Our office has received documentation of your IRB approval from the University of San Francisco. Because the appropriate IRB approval has already been obtained from your home institution no further documents are required at this time. You may proceed with collecting data at SJSU in accordance with the protocol that was approved by your institution.

If at any time a research participant at San Jose State University becomes injured or complains of injury, you must notify Dr. Pamela Stacks, Associate Vice President of Graduate Studies and research immediately at (408) 924-2427. Injury includes but is not limited to bodily harm, psychological trauma, and release of potentially damaging personal information.

This registration is valid for the duration of your University of San Francisco IRB approval. If you plan on collecting data at SJSU beyond the date indicated on your IRB approval, an extension of the approval must be submitted to the SJSU IRB prior to the continuation of data collection.

Please keep this email for your records as evidence that your registration with the SJSU IRB has been approved by our office.

--
Alena Filip
Institutional Review Board & Graduate Thesis Coordinator
Graduate Studies and Research
San Jose State University
One Washington Square
San Jose, CA 95192-0025

Phone: 408-924-2479
Email: Alena.Filip@sjsu.edu
Location: Administration Building - Room 223
Website: http://www.sjsu.edu/gradstudies/

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Fresno State University

MEMORANDUM

**CALIFORNIA
STATE
UNIVERSITY,
FRESNO**
____

Date.   May 3, 2011

To: Joy Lamboy, Principal Investigator
             University of San Francisco

From: Constance Jones, Chair
             Committee for the Protection of Human Subjects

Subject.   **IRB APPROVAL FOR RESEARCH**

This is to verify that because your research proposal is not sponsored by a faculty member at California State University Fresno, the proposal is exempt from review by the Committee for the Protection of Human Subjects at this university

Please feel free to contact me if you have any questions.

CJ:cs

THE CALIFORNIA STATE UNIVERSITY

Pepperdine University

PEPPERDINE UNIVERSITY

Seaver College

SEAVER COLLEGE INSTITUTIONAL REVIEW BOARD

Joy Lamboy, USF 20156069
Dr. Patricia Mitchell
The University of San Francisco
School of Education, Organization and Leadership
2130 Fulton Street
San Francisco, CA 94117-1071
(415)422-2079
Mitchell@usfca.edu
jvlamboy@dons.usfca.edu

July 10, 2011

Protocol #: SIRB_071104

Project Title: Implications of Branding Initiatives in Higher Education in California

Dear Joy Lamboy,

Thank you for submitting your application for expedited review to the Seaver College Institutional Review Board (Seaver IRB). The IRB appreciates your work in completing the proposal. Upon review, the IRB has determined that the above entitled project meets the requirements for expedited review under the federal regulations that govern the protections of human subjects. Specifically, 45 CFR 46.110 identifies several categories of research that qualify for expedited review, provides they are determined to pose no more than minimal risk to the participants. For example, review may be conducted on an expedited basis when the low-risk study employs "survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies."

Based upon review, your IRB application has been approved from 07/10/11 until 07/09/12.

Please note that the research must be conducted according to the proposal submitted to the Seaver IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For *any* proposed changes in your research protocol, please submit a Request for Modification form to the Seaver IRB. Please be aware that changes to the research protocol may prevent the research from

qualifying for expedited review and require submission of a new IRB application or other materials to the Seaver IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite our best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the Seaver IRB as soon as possible. If notified, we will ask for a complete explanation of the event and your response. Other actions also may be required depending on the nature of the event.

Upon completion of your study, please submit a Continuing Review Form to the IRB. Please contact the IRB if you have any questions about the continuing review process.

Please refer to the protocol number denoted above in all communication or correspondence related to your application and this approval. Should you have additional questions or require clarification of the contents of this letter, please contact me.

Best regards

Susan E. Helm

Susan E. Helm, Ph.D.,
Chairperson, Seaver College Institutional Review Board
susan.helm@pepperdine.edu

**cc: Dr. Lee Kats, Associate Provost for Research & Assistant Dean of Research
Mrs. Alexandra Roosa, Director, Research and Sponsored Programs
Ms. Katy Carr, Assistant to the Dean of Research and Associate Provost for
Research**

Santa Clara University

Santa Clara
University

7 July, 2011

Joy Lamboy
Rich Giacchetti
Santa Clara University
500 El Camino Real
Santa Clara, CA 95053

Subject: Approval for Research with Human Subjects Application
                <u>SCU FWA: 00002737</u>
                <u>Exempt Review</u>

Reference: *Implications of Branding Initiatives in Higher Education in California*

Dear Joy

You received approval from the Human Subjects Committee at Santa Clara University on
7 July 2011, to conduct your research in the above referenced proposal. The expiration
date of your IRB approval is 7 July 2012, and must be renewed annually during the
course of your project. If there are any changes during the course of your project, please
inform the Human Subjects Committee for further review. The faculty P.I. is also
required to keep all signed consent forms for three years for auditing purposes.

Note: SCU policy requires those working on Human Subjects projects to complete the
CITI Basic Human Subjects online training course. <u>It is important to note that HSC
approval requires ***all***</u> <u>members of the research team to complete the CITI training.</u> This is
an OHRP – Federal Wide Assurance requirement. CITI training is valid for three years.

If you have any questions, please contact either myself at 554-5591 or Pam Cuilla at
408/554-4408.

Sincerely,

Esther Pham, Director
Office of Research Compliance & Integrity

Stanford University

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[Compose mail]   **Dissertation Research**   X   Inbox   X   Signed Consent   X   New window
                                                                                                                              Print all
Inbox (1120)   Gill, Nancy   Hello Joy: I'm Nancy Gill, Director of Communication & Marketing   May 24   Expand all
Starred   Forward all
Important   Joy V Lamboy   Hi Nancy, Thank you so much for your email! It is good to hear th May 24
Chats
Sent Mail   Joy V Lamboy   Hi Celia, Thank you for taking my call today. As I 1:39 PM (17 hours ago)
Drafts
All Mail   Celia Molvin to me   show details 4:33 PM (14 hours ago)   [Reply]
Spam
Trash   Dear Joy,
                             Per federal regulations, Stanford is not engaged in this research as you have described it,
Signed Consent   and does not need to review your protocol. I understand that you will identify your
More▾   participants based on publically available information, and that the study will be conducted via
                             the internet. You are free to conduct your research in compliance with your IRB approval
Joy V Lamboy   from UCSF. Stanford IRB approval is not required.
                             Good luck with your study.
[Search, add, or invite]   Celia Molvin

                             From: Joy V Lamboy [mailto:jvlamboy@dons.usfca.edu]
                             Sent: Tuesday, June 21, 2011 1:40 PM
                             To: celia.molvin@stanford.edu
                             Subject: Dissertation Research
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Joy V Lamboy   Dear Alison, This packet contains information for the Jun 21 (13 days ago)
Joy V Lamboy   Dear Gianna, Thank you for taking my call today. As I Jun 28 (7 days ago)

Fernandes, Augustine to me, Alison   show details Jul 1 (3 days ago)   Reply

Dear Joy,
Based on the information provided by you in the email copied below, it has been
determined that UCLA will not be considered engaged in this research. Hence,
 review of your project is not required by the UCLA-OHRPP for the conduct of your
research at UCLA.

Please feel free to contact me if you have any other questions.
Thank you,
Augustine

Augustine Fernandes, PhD
Coordinator Expedited/External IRB Reviews

UCLA
OHRPP
Office of the Human Research Protection Program

11000 Kinross Bldg, Ste 102
Los Angeles, CA 90095-1694
Phone : 310-983-3155
Email: augustine.fernandes@research.ucla.edu
P Please consider the environment before printing this e-mail.

From: Orkin, Alison
Sent: Thursday, June 30, 2011 1:54 PM
To: Fernandes, Augustine
Subject: Fw: IRB Documents

Alison Orkin
UCLA OHRPP
(310) 206-3969
aorkin@research.ucla.edu

From: Joy V Lamboy [mailto:jvlamboy@dons.usfca.edu]
Sent: Tuesday, June 21, 2011 12:54 PM
To: Orkin, Alison
Subject: IRB Documents

Dear Alison,

This packet contains information for the required application to complete research at UCLA as an
external researcher and doctoral candidate in the Organization and Leadership doctoral program
at University of San Francisco. In order to be considered to conduct research by administering an
online survey to 2 - 5 employees at UCLA please find the following attached:

§ Copy of University of San Francisco's IRB Application/Summary of intended research
§ Copy of University of San Francisco's IRB Conditional Approval
§ Copy of the certificate of Training in human subjects research protections

I hope to begin conducting research as soon as possible. Thank you for your consideration and I
look forward to hearing from you. If there are any questions please do not hesitate to contact
me.

Kind Regards,

Joy Lamboy
Doctoral Student
University of San Francisco

People

Fernandes, Augustine
augustine.fernandes@r…   »

aorkin
aorkin@research.ucla.e…   »

gianna.calabro
gianna.calabro@resear…   »

California State University Fullerton

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Joy V Lamboy

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| Joy V Lamboy | To Whom It May Concern, This packet contains information for the | Apr 12 |
| Joy V Lamboy | Hi Heidi, Thank you so much for taking my call this morning. Per o | May 18 |

Hodges, Heidi to me   show details May 18   Reply

Dear Ms. Lamboy:

This is in response to your below-referenced IRB matter and your request for approval from CSUF regarding same. As we discussed this morning, the CSUF IRB reviews protocols from outside researchers that have been forwarded or "sponsored" by our own CSUF faculty or staff. Because of the volume of protocols we receive, the CSUF IRB indicates that any arrangements you have made for use of our facilities within which to conduct your study are independent of this IRB's review and you should seek CSUF departmental approval accordingly. Since you do not yet have a CSUF faculty member or sponsor here on campus for your protocol, it is premature for us to review it at this time.

Please keep in mind, however, that you are reminded to adhere closely to the guidelines for human participant use as you have described in your research proposal and to notify your institution's IRB if there are any adverse events that result from your study.

Of course, feel free to contact me if you have further questions or if this email does not suffice.

Heidi Hodges
Regulatory Compliance Coordinator
CSUF IRB/IACUC x2327
P Please consider the environment before printing this e-mail
This institution has an Assurance on file with the Office for Human Research Protections.

The Assurance Number is FWA00000135.

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California State University San Marcos

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Institutional Review Board for the Protection of Human Subjects(IRB)   California State University San Marcos
Tel: 760-750-4029   irb@csusm.edu   www.csusm.edu/irb

Human Subjects Research Approval Form

IRB #: 2011-064

To: **Patricia Mitchell**

   Joy Lamboy

Project Title: **Branding Initiatives in Higher Education in California**

This letter certifies that the above referenced project was reviewed and approved by the University's
Institutional Review Board in accordance with the requirements of the Code of Federal Regulations on
Protection of Human Subjects(45 CFR 46), including its relevant subparts.

Continuing Review

This approval is valid through the expiration date shown below. If this research project will extend beyond that
date, a continuing review application must be submitted at least 30 days before this expiration using the
Continuing Review form available on the IRB website. (www.csusm.edu/irb)

Modifications to Research Protocol

Changes to this protocol (procedures, populations, locations, personnel, etc.) must be submitted and
approved by the IRB prior to implementation using the Minor Modification Form available on the IRB website.

Unanticipated Outcomes/Events

The CSU San Marcos IRB must be notified immediately of any injuries or adverse conditions.

☐   *Approved Information Sheet or Consent Form(s) are attached. Only approved consent forms may be used to
obtain participant consent.*

Approval Date: **4/14/2011**

Expiration Date: **Does Not Expire**

Katherine Hayden, Ed.D.
IRB Chair

The California State University

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CALIFORNIA STATE UNIVERSITY, LONG BEACH

OFFICE OF UNIVERSITY RESEARCH

June 1, 2011

Joy Lamboy
615A Canyon Oaks Drive,
Oakland, CA 94605

Re: "Branding Initiatives in Higher Education in California" PHS 11-273i

Dear Ms. Lamboy:

This is to advise you that the Institutional Review Board for the Protection of Human Subjects (IRB) of California State University, Long Beach, has reviewed your protocol application.

Your application is approved. The requested revisions have been received, reviewed and accepted.

Approval is for a period of one year from the date of this letter and conditional upon your willingness to carry out your continuing responsibilities under University policy. If you would like to continue this research after this one year period, please submit a renewal application and an annual report to the Office of University Research two months prior to your expiration date of May 31, 2012.

1. You must clearly indicate in the header or footer of each page of your approved Informed Consent Form the approval and expiration dates of the protocol as follows: **"Approved from June 1, 2011 to May 31, 2012 by the CSULB IRB".**
2. You are required to inform the Director or Senior Associate Director, Office of University Research, in writing (email is acceptable) within twenty-four hours of any adverse event in the conduct of research involving human subjects. The report shall include the nature of the adverse event, the names of the persons affected, the extent of the injury or breach of security, if any, and any other information material to the situation.
3. You may not change your research procedure involving human subjects without written permission from the Director, Office of University Research or the Chair of the IRB. Please use the Protocol Modification Form to request any changes.
4. Maintain your research records as detailed in the protocol.

Should you have any questions about the conduct of your research under this protocol, particularly about providing informed consent and unexpected contingencies, please do not hesitate to call the Office of University Research at (562) 985-5314. We wish you the best of success in your research.

Sincerely,

Paulette McIntosh, M.S.
Senior Associate Director
Office of University Research

PM/jh

c: Patricia Mitchell, USF

1250 BELLFLOWER BOULEVARD · LONG BEACH, CALIFORNIA 90840 · 562/985-5314 · FAX 562/985-8665

California State University Stanislaus

June 6, 2011

Joy Lamboy
615A Canyon Oaks Drive
Oakland, CA 94605

Institutional Review Board
CSU Stanislaus
One University Circle, MSR 250
Turlock, CA 95382
Telephone: **(209) 667-3747**
Email: **IRBAdmin@csustan.edu**

IRB BOARD MEMBERS

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Vacant
Community Representative

Nancy Lewis
Research & Sponsored Programs
(non-voting)

IRB Administration
Wendy Smith, JD
Campus Compliance Officer

Re: Protocol #1011-139

Dear Joy,

Congratulations. Your research has been designated Expedited and can be conducted as detailed in your research protocol, **"*Branding initiatives in higher education in California*"**

Your approval to conduct research now expires June 6, 2012. If you anticipate that you will need more time to complete your research, please apply for renewal at least 30 days prior to the expiration date.

If you have any questions regarding this designation, please contact Campus Compliance at (209) 667-3747.

Please Note:
Human subjects research liability protection from the university only covers IRB-approved research by faculty, students, and employees of CSU Stanislaus. If your employment or student status changes during the year or if you make changes to your methods, subject selection, or instrumentation, please discontinue your research and notify the IRB to obtain the appropriate clearances.

If any research subject experiences a serious adverse or unexpected event during or following participation, please notify Campus Compliance immediately.

Best regards,

Cathlin M. Davis, Ph.D., Chair

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Hi Joy,

If you are not using UCSB staff or faculty to consent or interview your subjects or private data from UCSB to locate them, UCSB is not materially engaged in your research and you do not need separate approval here. Let me know if you have any questions.

kg
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--

Kathy Graham
Human Subjects Commitee
Office of Research
University of California
Santa Barbara, CA 93106
graham@research.ucsb.edu
http://www.research.ucsb.edu
805 893-3807

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Joy V Lamboy
                               Best,
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                               Marie Reyes Pineda
                               University of Southern California
                               HSIRB Administrator
                               Tel No: (323) 276-2225
                               Fax No: (323) 224-8389
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