

CAS Self-Assessment Guide

AUXILIARY SERVICES FUNCTIONAL AREAS
2015

Council for the Advancement of Standards in Higher Education. (2015). *CAS self-assessment guide for auxiliary services functional areas*. Washington, DC: Author.

Table of Contents

Contextual Statement

Gives a functional and historical perspective to the area

Instructions

Instructions for conducting self-assessment using the SAG

Self-Assessment Instrument

Instrument comprised of criterion statements, rating scales, and evaluation forms to be used in self-assessment

Work Forms

Offer direction for developing an action plan (e.g. identify strengths, weaknesses, recommendations, benchmarks for achievement, resources, timeframe, and responsible individuals)

Appendix A: CAS Standards for Auxiliary Services Functional Areas

AUXILIARY SERVICES FUNCTIONAL AREAS

CAS Contextual Statement

Student affairs and auxiliary services are names used to describe multi-functional umbrella organizations that, through a variety of means, address the out-of-classroom needs of students, faculty, staff, and visitors on college and university campuses. Auxiliary services typically encompass functional areas that follow business practices and principles in their service design and provision. Student affairs functional areas are more likely to focus upon student life, personal development, student learning, and well-being. This distinction will vary from campus to campus, and each campus determines the heading under which each student service functional area will exist.

Over the past thirty years, several business processes and structures have been introduced to auxiliary services at colleges and universities and to describe the Auxiliary Services Functional Areas (ASFA). The following terms are among those commonly used:

Vendor. A service provider that has permission to deliver a service, using its own resources, consistent with conditions and parameters set forth by the institution. Examples may include ice cream/hot dog trucks, dry cleaning services, and pizza deliverers.

Outsourced Provider. A service provider that is hired by the institution to fill a specific need. Examples may include transportation services, travel offices, and copy services.

Contracted Provider. An entity contractually assigned to provide a continuous service, usually over multiple years, within detailed specifications, on the premises of the institution. Examples may include bookstores and food services.

Licensor. A branded provider of services who contractually sells rights to the institution for use of their name, products, and/or processes, consistent with the institution's and the licensor's guidelines and standards for providing the service. Examples may include fast food outlets and mail packaging/service shops.

Auxiliary (Ancillary) Service. A service wholly owned by the institution, either directly or through a 501(c) 3 subsidiary, which exists solely to serve the institution's students, faculty, staff, and visitors. Examples may include institutionally operated stores and dining programs.

Self-supporting Service. An institutional service that functions net-neutral, under normal circumstances, but may be called upon from time to time to fill an institutional funding need. Examples may be found within any of the aforementioned classifications of service.

Auxiliary services may include but are not limited to housing, student unions, bookstores, dining services, food courts with nationally recognized brands, conference services, health services, campus card programs, parking/transportation, mail services, telecommunications, cable and internet services, student athletics, campus recreation centers, retail outlets, convenience stores, banking services, computer kiosks, other retail outlets, and contracted services. As with all campus services, the ASFA, through its quality, reliability, and ease of use, is expected to positively impact student recruitment and retention and enhance the life experience of students. Organizationally, although many campuses include the ASFA within student life, it may also report through administrative officers or be structured as a separate division of the institution. ASFA may also be structured independently as a 501(c) 3

auxiliary services corporation. When outsourced companies provide services, the auxiliary services role may be as intermediary between private service providers and the institution.

Today's institutions face decreasing state and federal support, pressure to minimize tuition increases, the need to find alternative sources of revenue, an increasingly diverse student population, and calls to improve undergraduate student learning. Within this context are students and parents who want sophisticated and varied campus services. In general, the ASFA faces declining institutional funding and is expected to generate revenue, offer new services, provide excellent customer service, give exceptional value, and use the best technology to deliver services. In addition to following general standards of practice germane to all functional areas in higher education, it is necessary also that the ASFA follows the best business enterprise standards and guidelines to accomplish its mission.

Although ASFA professionals are concerned with providing quality campus services and funding those services, they are equally concerned with supporting the academic mission of their institutions. Among their many roles, ASFA gives students places to live, eat, buy their textbooks and supplies, recreate, meet, study, attend campus events, socialize, and work on campus. As a major source of on-campus student employment, the ASFA plays an important role in promoting individual student success (Indiana University, 1999).

The CAS Standards and Guidelines for ASFA may be used to assess a multi-functional auxiliary service organization, or they may be used to augment the CAS General Standards in development and revision of standards and guidelines for individual functional areas that are structured as auxiliary services.

References, Readings, and Resources

Indiana University Center for Postsecondary Research. (1999). *National Survey of Student Engagement*. Bloomington, IN, Author.

Contextual Statement Contributors

Jeffrey Pittman, Regent University, NACAS

Pat Perfetto, University of Maryland

Bob Hassmiller, Past NACAS CEO

INTRODUCTION AND INSTRUCTIONS

CAS Self-Assessment Guide

The *Self-Assessment Guides* (SAG) translate functional area CAS standards and guidelines into tools for conducting self-study. Educators can use this SAG to gain informed perspectives on the strengths and deficiencies of their programs and services as well as to plan for improvements. Grounded in the reflective, self-regulation approach to quality assurance in higher education endorsed by CAS, this SAG provides institutional, divisional, departmental, and unit leaders with a tool to assess programs and services using currently accepted standards of practice.

The *Introduction* outlines the self-assessment process, describes how to complete a programmatic self-study, and is organized into three sections:

- I. Self-Assessment Guide Organization and Process
- II. Rating Examples
- III. Formulating an Action Plan, Preparing a Report, and Closing the Loop

The introduction is followed by the *Self-Assessment Worksheet*, which presents the CAS standards for the functional area and incorporates a series of criterion measures for rating purposes.

I. Self-Assessment Guide and Process

CAS developed and has incorporated a number of common criteria that have relevance for each and every functional area, no matter what its primary focus. These common criteria are referred to as “General Standards,” which form the core of all functional area standards. CAS standards and guidelines are organized into 12 components, and the SAG workbook corresponds with the same sections:

- | | |
|-------------------------------------|---|
| Part 1. Mission | Part 7. Diversity, Equity, and Access |
| Part 2. Program | Part 8. Internal and External Relations |
| Part 3. Organization and Leadership | Part 9. Financial Resources |
| Part 4. Human Resources | Part 10. Technology |
| Part 5. Ethics | Part 11. Facilities and Equipment |
| Part 6. Law, Policy, and Governance | Part 12. Assessment |

For each set of standards and guidelines, CAS provides a Self-Assessment Guide (SAG) that includes a recommended comprehensive self-study process for program evaluation. Seven basic steps to using a SAG are suggested for implementing a functional area self-study. The following self-study process is recommended.

<p style="text-align: center;">1. Plan the Process</p> <p>Map out steps for process, develop timeline, build buy-in with all stakeholders, and explicitly identify desired outcomes of the self-study</p>	<p style="text-align: center;">5. Develop an Action Plan</p> <p>Identify discrepancies, corrective action, and recommended steps (e.g., identify strengths, weaknesses, recommendations, benchmarks for achievement, resources, timeframe, and responsible individuals)</p>
<p style="text-align: center;">2. Assemble and Educate the Self-Assessment Team</p> <p>Determine who should be on the team and how to educate the team about the self-study process</p>	<p style="text-align: center;">6. Prepare a Report</p> <p>Identify audience for report(s); describe the self-study process, evidence gathering, rating process, and evaluations; summarize strengths and weaknesses; describe the action plan; and draft an executive summary</p>
<p style="text-align: center;">3. Identify, Collect, and Review Evidence</p> <p>Define what constitutes evidence; then gather, collect,</p>	<p style="text-align: center;">7. Close the Loop</p> <p>Put action plans into practice; work to navigate politics and</p>

manage, and review evidence	secure resources; identify barriers to overcome; and build buy-in to the program review results
<p>4. Conduct and Interpret Ratings Using Evaluative Evidence</p> <p>Clarify team’s rating criteria; employ a process for rating [small group, individual, staff]; negotiate rating differences; and manage group ratings</p>	

The first four steps in conducting self-assessment will lead you through planning your process, preparing your team, gathering evidence, and assigning ratings to the criterion measures.

- A. Plan the self-study process
- B. Assemble and educate self-study team(s)
- C. Identify, collect, and review documentary evidence
- D. Conduct ratings using evaluative evidence

Step A: Plan the Self-Study Process

Prior to beginning a program review, division and functional area leaders need to determine the area (or areas) to be evaluated and the reasons for the project. This may be dictated by institutional program review cycles or planning for accreditation processes, or it may result from internal divisional goals and needs. Explicitly identifying desired outcomes and key audiences for a self-study will help leaders facilitate a process that makes the most sense for the project.

Critical first phases of a program review include mapping out the planned steps for a program review and developing timelines. Leaders will also want to build buy-in with stakeholders of the functional area. In the initial planning stage of the self-study process it is desirable to involve the full functional area staff, including support staff members, knowledgeable students, and faculty members when feasible. This approach provides opportunity for shared ownership in the evaluation.

Step B: Assemble and Educate the Self-Assessment Review Team

The second step is to identify an individual to coordinate the self-assessment process. CAS recommends that the coordinator be someone other than the leader of the unit under review; this facilitates honest critique by the review team and enhances credibility of the final report. Once a leader is designated, members of the institutional community [e.g., professional staff members, faculty members, students] need to be identified and invited to participate. Whether a sole functional area or a full division is to be reviewed, the self-study team will be strengthened by the inclusion of members from outside the area(s) undergoing review.

In preparing the team for the self-study, it is imperative to train the team on the CAS standards, as well as self-assessment concepts and principles. CAS standards and guidelines are formulated by representatives of 41 higher education professional associations concerned with student learning and development. The CAS standards represent essential practices; the CAS guidelines, on the other hand, are suggestions for practice and serve to elaborate and amplify standards through the use of suggestions, descriptions, and examples. Guidelines can often be employed to enhance program practice. Following a long-standing CAS precedent, the functional area standards and guidelines—presented as an appendix to the self-assessment instrument—are formatted so that standards (i.e., essentials of quality practice) are printed in bold type. Guidelines, which complement the standards, are printed in light-face type. Standards use the auxiliary verbs “must” and “shall” while guidelines use “should” and “may.”

In this self-assessment instrument, the CAS standards have been translated into criterion measures and grouped into subcategories for rating purposes. The criterion measures are not designed to focus on discrete ideas; rather, the

measures are designed to capture the major ideas and elements reflected in the standards. For each of the 12 component parts, team members will rate clusters of criterion measures. If the assessment team decides to incorporate one or more of the guidelines into the review process, each guideline can be similarly translated into a measurable statement to facilitate rating.

As a group, the review team should examine the standards carefully and read through the entire self-assessment guide before beginning to assign ratings. It may be desirable for the team, in collaboration with the full staff, to discuss the meaning of each standard. Through this method, differing interpretations can be examined and agreement generally reached about how the standard will be interpreted for purposes of the self-assessment.

Step C: Identify, Collect, and Review Documentary Evidence

Collecting and documenting evidence of program effectiveness is an important step in the assessment process. No self-assessment is complete without relevant data and related documentation being used. It is good practice for programs to collect and file relevant data routinely, which can then be used to document program effectiveness over time. Available documentation should be assembled by the unit under review and provided to the review team at the outset of the study. The team may request additional information as needed as the review is conducted.

Documentary evidence often used to support evaluative judgments includes:

- *Student Recruitment and Marketing Materials*: brochures and other sources of information about the program, participation policies and procedures, and reports about program results and participant evaluations
- *Program Documents*: mission statements, catalogs, brochures and other related materials, staff and student manuals, policy and procedure statements, evaluation and periodic reports, contracts, and staff memos
- *Institutional Administrative Documents*: statements about program purpose and philosophy relative to other educational programs, organizational charts, financial resource statements, student and staff profiles, and assessment reports
- *Research, Assessment, and Evaluation Data*: needs assessments, follow-up studies, program evaluations, outcome measures and methodologies, and previous self-study reports
- *Staff Activity Reports*: annual reports; staff member vitae; service to departments, colleges, university, and other agencies; evidence of effectiveness; scholarship activities, and contributions to the profession
- *Student Activity Reports*: developmental transcripts, portfolios, and other evidence of student contributions to the institution, community, and professional organizations; reports of special student accomplishments; and employer reports on student employment experiences

In the SAG, each section provides recommended evidence and documentation that should be collected and compiled prior to conducting ratings. The evidence collected is likely applicable across numerous sections.

Raters can best make judgments about the program expectations articulated in the standards when they have a variety of evidence available. Multiple forms of evidence should be reviewed and reported in the narrative section of the SAG worksheets. Through the rating process, a self-study team may identify a need to obtain additional information or documentation before proceeding, in order to lend substance to judgments about a given assessment criterion. Evidence and documentation should be appended and referenced in the final self-assessment report.

Step D: Conduct and Interpret Ratings Using Evaluative Evidence

When the program review team has gathered and reviewed necessary evidence, they will be able to assign and interpret ratings to individual criterion measures, following three steps.

- 1) Rate Criterion Measures
 - a) Team members individually rate criterion measures based on their understanding of the evidence.
 - b) Team discusses and assigns collective ratings for criterion measures.

- 2) Provide Narrative Rationale
 - a) Document the reasoning and evidence for the rating assigned to each subsection, in the space provided for *Rationale*.
 - b) Explain what evidence has been collected and reviewed to support individual and/or team ratings and judgments.
 - c) Provide information for follow-up and relevant details about ratings (e.g., if *Partly Meets* is assigned as a rating, what aspects of the program or service do and do not meet which standards statements).

- 3) Answer Overview Questions (In the Instrument)
 - a) Respond, in writing in the space provided, to the *Overview Questions* that immediately follow the rating section of each of the 12 components.
 - b) Use answers to the *Overview Questions*, which are designed to stimulate summary thinking about overarching issues, to facilitate interpretation of the ratings and development of the self-study report.

Assessment criterion measures are used to judge how well areas under review meet CAS standards. These criterion measures are designed to be evaluated using a 4-point rating scale. In addition to the numerical rating options, *Does Not Apply* (DNA) and *Insufficient Evidence/Unable to Rate* (IE) ratings are provided. This rating scale is designed to estimate broadly the extent to which a given practice has been performed.

CAS CRITERION MEASURE RATING SCALE

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

Under rare circumstances, it may be determined that a criterion measure used to judge the standard is not applicable for the particular program (e.g., a single sex or other unique institution that cannot meet a criterion measure for that reason). In such instances, raters may use a DNA rating and, in the self-study report, describe their rationale for excluding the practice in the criterion measure. The IE response can be used when relevant data are unavailable to support a judgment. When either the DNA or the IE ratings are used, an explanatory note should be provided in the report. Items rated with 0 should generate careful group consideration and appropriate follow-up action.

Program leaders may wish to incorporate additional criterion measures, such as selected CAS guidelines or other rating scales, into the procedures before the self-assessment process begins. Such practice is encouraged, and the SAG instrument can be amended to incorporate additional criterion measures for judging the program. In such instances, additional pages to accommodate the additional criterion measures may be required.

Whatever procedures are used to arrive at judgments, deliberate discussions should occur about how to initiate the rating process and select the optimal rating strategy. In such discussions, it is expected that disagreements among team members will occur and that resulting clarifications will inform all participants. It is important that the team achieve consensual resolution of such differences before proceeding with individual ratings.

CAS suggests a two-tiered (individual and group) judgment approach for determining the extent to which the program meets the CAS standard. First, the self-assessment team members (and functional area staff members, if desired) individually should rate the clusters of criterion measures using separate copies of the CAS Self-Assessment Guide. In addition, they will need to document their reasoning and evidence for the rating assigned to each subsection in the space provided for *Rationale*. This individualized rating procedure is then followed by a collective review and analysis of the individual ratings.

The individual ratings should be reviewed, discussed, and translated into a collective rating by the team; then the team is ready to move to the interpretation phase of the self-assessment. Interpretation typically incorporates discussion among team members to assure that all aspects of the program were given fair and impartial consideration prior to a final collective judgment. At this point, persistent disagreements over performance ratings may call for additional data collection.

After the team review is completed, a meeting with relevant administrators, staff members, and student leaders should be scheduled for a general review of the self-assessment results. The next step, including discussion of alternative approaches that might be used to strengthen and enhance the program, is to generate steps and activities to be incorporated into an action plan. This step is best done by the unit staff, informed by the results of the review and, when feasible, in consultation with the review team. The Work Forms will guide this process.

II. Rating Examples

Rating Standard Criterion Measures

All CAS standards, printed in bold type, are viewed as being essential to a sound and relevant program or service that contributes to student learning and development. Many of the statements contained in CAS standards incorporate multiple criteria that have been grouped for rating purposes. Consequently, raters may need to judge several standards statements through a single criterion measure. Using the “Ethics” standards as an example, the following illustrates how criterion measures are grouped into subcategories for rating.

Part 5. ETHICS

Suggested Evidence and Documentation:

1. Program code or statement of ethics
2. Ethics statements from relevant functional area professional associations
3. Personnel policies, procedures and/or handbook
4. Student code of conduct
5. Operating policies and procedures related to human subjects research (Institutional Review Board, IRB)
6. Minutes from meetings during which staff reviewed and discussed ethics

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

5.1 Ethical Standards

- Programs and services review applicable professional ethical standards and adopt or develop and implement appropriate statements of ethical practice.
- Programs and services publish and adhere to statements of ethical practice, ensure their periodic review, and orient new personnel to relevant statements of ethical practice and related institutional policies.

Rationale:

5.2 Statement of Ethical Standards

- Statements of ethical standards specify that programs and services personnel respect privacy and maintain confidentiality in communications and records as delineated by privacy laws.

Using Guidelines to Make Judgments about the Program

As discussed above, program leaders may wish to include selected *CAS Guidelines* to be rated along with the standards. To accomplish this, criterion measure statements must be written for the guidelines selected. The self-study team can readily create statements to be judged as part of the rating process. Programs generally considered in compliance with the standards especially can benefit by using guidelines because guidelines typically call for enhanced program quality.

Not all programs under review will incorporate guidelines to be rated as part of their self-studies. Even though the guidelines are optional for rating purposes, raters are strongly encouraged to read and review them as part of the training process. When *CAS Guidelines* or other criterion measures are rated, they should be treated as if they were standards.

III. Formulating an Action Plan, Preparing a Report, and Closing the Loop

The final three steps in the self-assessment process help a review team and unit plan for and take action using the information garnered through the review of documentary evidence and rating process.

Step E: Formulating an Action Plan

Typically, the assessment process will identify areas where the program is not in compliance with the standards. Action planning designed to overcome program shortcomings and provide program enhancements must then occur. Following is an outline of recommended steps for establishing a comprehensive plan of action using the CAS self-assessment work forms. Space is provided in the SAG for recording relevant information.

- 1) Resolve Rating Discrepancies (Work Form A)
 - a) Identify criterion statements for which there is a substantial rating discrepancy.
 - b) Discuss these items and come to a resolution or final decision. Note any measures where consensus could not be reached.
- 2) Identify Areas of Program Strength (Work Form B)
 - a) Identify criterion measure ratings where *strength* in performance or accomplishment was noted (i.e., program exceeds criterion with a rating of 4).
- 3) Identify Areas for Improvement (Work Form B)
 - a) Identify criterion measures where program weaknesses (i.e., program shortcomings that fail to meet criterion measures, and received a rating of 0 or 1) were noted.
- 4) Recommend Areas for Unit Action (Work Form C)
 - a) Note items that need follow-up action for improvement and indicate what requires action.
 - b) This is the last form to be completed by the review team.
- 5) Prepare the Action Plan (Work Form D)
 - a) This step should be completed by the unit being reviewed.
 - b) Use the items requiring attention listed in Work Form C to formulate a brief action plan. The focus and intended outcomes of the next steps to be taken should be identified.
- 6) Write Program Action Plan (Work Form E)
 - a) List each specific action identified in the self-study that would enhance and strengthen services.
 - b) Determine the actions needed to improve for each practice.
 - c) Identify responsible parties to complete the action steps.
 - d) Set dates by which specific actions are to be completed.
- 7) Prepare Report
 - a) Prepare a comprehensive action plan for implementing program changes.
 - b) Identify resources (i.e., human, fiscal, physical) that are essential to program enhancement.
 - c) Set tentative start-up date for initiating a subsequent self-study.

Step F: Preparing a Report

To complete the process, a summary document should be produced that (a) explains the mission, purpose, and philosophy of the program; (b) reviews the outcome of the assessment; and (c) recommends specific plans for action.

In addition, depending on the report's audience, describe the process, evidence gathering, ratings, and evaluations, and summarize strengths and weaknesses.

Step G: Closing the Loop

Finally, to close the loop on a program's self-study process, functional area staff members must implement the recommended changes to enhance the quality of their program. In this final step, the staff endeavors to put action plans into practice. In some cases, there will be institutional politics to be navigated; continued support from functional area leaders remains essential. Staff members will want to work collectively to secure resources, identify barriers to implementation, and build stakeholder buy-in to the results. CAS recommends that closing the loop on a self-study process be integrated into regular staff meetings, individual supervision, trainings, and annual reports. A key to successfully using program review in post-secondary student services is weaving the entire process, from planning through taking action, into the fabric of the functional area, departmental, and divisional culture.

AUXILIARY SERVICES FUNCTIONAL AREAS

CAS Self-Assessment Guide

Part 1: MISSION

Suggested Evidence and Documentation:

1. Current mission statement, brief description of how it was developed, and date of last review
2. Additional goals, values, and statements of purpose
3. Description and copies (if applicable) of where mission statement is disseminated (e.g., included in operating and personnel policies, procedures and/or handbook, hanging in office common space, on website, in strategic plan, and other promotional materials)
4. Institutional/divisional mission statements (e.g., map program mission to broader mission statements)
5. Any additional professional standards aligned with program/service (e.g., standards promoted by functional area organizations)
6. Institutional demographics, description of student population served, and information about community setting

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

1.1 Program Mission and Goals

- Auxiliary Services Functional Areas (ASFA) are multi-functional organizations that address many of the out-of-classroom needs of students, faculty, staff, and visitors on college and university campuses. ASFA follows business practices and principles in their service design, and operates enterprises that provide goods and services on campus.
- ASFA adheres to ethical, effective, efficient, and sustainable business practices in the provision of relevant, quality, on-campus services that support and enhances the campus environment for students, faculty, staff, and visitors, and provides opportunities for student development.

Rationale:

1.2 Mission Implementation and Review

- ASFA develops, disseminates, implements, and regularly reviews its mission.

Rationale:

1.3 Mission Statement

- The mission statement is consistent with that of the institution and with professional standards; is appropriate for student populations and community settings; and references learning and development.

Rationale:

Overview Questions:

1. How does the mission embrace student learning and development?
2. In what ways does ASFA mission complement the mission of the institution?

3. To what extent is the mission used to guide practice?

Part 2: PROGRAM

Suggested Evidence and Documentation:

1. Program student learning and development outcomes, and brief description of how they were developed
2. List of current collaborations across the institution that facilitate student learning and development
3. Map of program activities and ways they connect to student learning and development outcomes
4. Map or report of outcome assessment activities, including results
5. Strategic plans program design and enhancement
6. Specifications or requirements (if applicable)

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

- 2.1 Program Contribution to Student Learning and Development
- Auxiliary Services Functional Areas (ASFA) contributes to students’ formal education (the curriculum and co-curriculum), learning, and development.
 - ASFA contributes to students’ progression toward and timely completion of educational goals and preparation for their careers, citizenship, and lives.
 - ASFA identifies relevant and desirable student learning and development outcomes that align with the CAS Learning and Development Outcomes and related domains and dimensions.

Rationale:

- 2.2 Assessment of Learning and Development
- ASFA engages in outcomes assessment, documents evidence of its impact, and articulates the role it plays in student learning and success.
 - ASFA uses evidence to create strategies for improvement of programs.

Rationale:

- 2.3 Program Design
- ASFA bases its work on intentional student learning and development outcomes.
 - ASFA reflects developmental and demographic profiles of the student population and responds to needs of individuals, populations with distinct needs, and relevant constituencies.
 - ASFA is delivered using multiple formats, strategies, and contexts and is designed to provide universal access.
 - ASFA develops an atmosphere conducive to educational pursuits, community, and interpersonal growth, in a safe and non-threatening environment.
 - ASFA provides a balanced variety of social, cultural, and intellectual options that is reflective of the diversity of the campus.

Rationale:

- 2.4 Collaboration
- ASFA collaborates with others across the institution in ways that benefit students.

Rationale:

- 2.5 Communication
- ASFA clearly explains policies, procedures, and expectations.
 - ASFA remains transparent and open to dialogue with customers and stakeholders.

Rationale:

- 2.6 Student Orientation
- ASFA introduces and orients students to facilities, services, staff members, and functions.
 - ASFA educates students on relevant safety, security, and emergency concerns.

Rationale:

Overview Questions:

- What are the most significant student learning and development outcomes of ASFA?
- What difference does ASFA make for students who engage with it?
- What is the demonstrated impact of ASFA on student learning, development, and success?
- How has collaboration in program development and delivery affected its impact or outcomes?
- What changes or adjustments have been made as a result of assessment activities?

Part 3: ORGANIZATION AND LEADERSHIP

Suggested Evidence and Documentation:

- Program goals and outcomes
- Operating policies, procedures and/or handbook
- Personnel and student handbook(s), policies and procedures, and organizational chart(s)
- Personnel position descriptions, expectations, and performance review templates
- Periodic reports, contracts, and personnel memos
- Annual reports by program leaders
- Program leader resumes, including additional professional involvement
- Strategic and operating plans
- Needs assessment of program constituents
- Report of professional development activities

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

- 3.1 Organization Documents
- Auxiliary Services Functional Areas (ASFA) has clearly stated and current goals and outcomes, policies and procedures, descriptions of personnel responsibilities and expectations, and clear organizational charts.
 - ASFA maintains accurate and current documentation on

- operational policies and procedures
- agreements (e.g., contracts, leases) with outsourced service providers and vendors including good faith agreements and amendments
- memoranda of understanding with campus service providers
- standards of performance and other expectations of service providers
- access provisions for clients and employees with disabilities
- day-to-day operations such as fiscal controls, maintenance of physical plant and equipment, provision of services, supervision of personnel, and customer relations

Rationale:

3.2 Actions of Leaders

- Leaders model ethical behavior and institutional citizenship.
- Leaders with organizational authority provide strategic planning, management and supervision, and program advancement.

Rationale:

3.3 Strategic Planning

- ASFA leaders articulate a vision and mission, as well as set goals and objectives based on the needs of populations served, intended student learning and development outcomes, and program outcomes.
- ASFA leaders facilitate continuous development, implementation, and assessment of effectiveness and goal attainment congruent with institutional mission and strategic plans.
- ASFA leaders promote environments that provide meaningful opportunities for student learning, development, and engagement.
- ASFA leaders develop, adapt, and improve programs and services for populations served and institutional priorities.
- ASFA leaders include diverse perspectives to inform decision making.

Rationale:

3.4 Management

- ASFA leaders plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources.
- ASFA leaders manage human resource processes including recruitment, selection, performance planning, and succession planning.
- ASFA leaders use evidence to inform decisions, incorporate sustainability practices, understand and integrate appropriate technologies, and are knowledgeable about relevant codes and laws.
- ASFA leaders assess and take action to mitigate potential risks.

Rationale:

3.5 Supervision

- ASFA leaders manage human resource processes including professional development, supervision, evaluation, recognition, and reward.
- ASFA leaders empower personnel to become effective leaders and to contribute to the effectiveness

and success of the unit.

- ASFA leaders encourage and support collaboration across the institution and scholarly contributions to the profession.
- ASFA leaders identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement.

Rationale:

3.6 Program Advancement

- ASFA leaders advocate for and actively promote the mission and goals of ASFAs and services.
- ASFA leaders inform stakeholders about issues affecting practice.
- ASFA leaders facilitate processes to reach consensus where wide support is needed.
- ASFA leaders advocate for representation in strategic planning initiatives at divisional and institutional levels.

Rationale:

3.7 Community Consultation

- ASFA consults with members of the campus community regarding its operations, governance, and programming structure, and the formulation of ASFA policies and procedures.
- ASFA, in consultation with students, faculty members, staff, administration, and other constituents, determines and documents facility operating policies, budgets, allocations of funds, employment policies, space allocation, products and services to be offered, and hours of operation.

Rationale:

Overview Questions:

1. Explain the extent to which ASFA leader(s) are viewed as and held responsible for advancing the departmental mission.
2. Explain the opportunities and limitations present for ASFA leader(s) as they seek to fulfill ASFA mission.
3. How do ASFA leaders advance the organization?
4. How do ASFA leaders encourage collaboration across the institution?
5. How are ASFA leaders accountable for their performance?
6. How have ASFA leaders empowered personnel and engaged stakeholders?

Part 4: HUMAN RESOURCES

Suggested Evidence and Documentation:

1. Program mission, goals, and outcomes
2. Operating policy and procedure manuals/statements for program and institution
3. Organizational chart(s)
4. Personnel handbook, position descriptions (including student employees, volunteers, and graduate students), expectations, and performance review templates
5. Annual reports, including data on student utilization and staff-to-student ratios
6. Association or benchmark reports on operations and staffing
7. Student and staff personnel profiles or resumes, including demographic characteristics, educational background, and previous experience
8. Reports on personnel, including student employees and volunteers, employment experiences

9. Training agendas and schedules
10. Statement of staffing philosophy
11. Professional development activities
12. Minutes from staff meetings at which human resources related standards were discussed and addressed

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

- 4.1 Adequate Staffing and Support
- Auxiliary Services Functional Areas (ASFA) is staffed adequately to accomplish mission and goals.
 - ASFA has access to technical and support personnel adequate to accomplish the mission.
 - ASFA staff includes persons reasonably capable of providing temporary oversight for entire units as well as their specialty, should the need require it.

Rationale:

- 4.2 Recruitment, Supervision, and Professional Development
- ASFA establishes procedures and expectations for personnel recruitment and selection, training, supervision, performance, and evaluation.
 - ASFA provides personnel access to education and professional development opportunities to improve their competence, skills, and leadership capacity.
 - ASFA considers work/life options available to personnel to promote recruitment and retention.

Rationale:

- 4.3 Employment Practices
- Administrators of ASFA maintain personnel position descriptions, implement recruitment and hiring strategies that produce an inclusive workforce, and develop promotion practices that are fair, inclusive, proactive, and non-discriminatory.
 - Personnel responsible for delivery of programs and services have written performance goals, objectives, and outcomes for each year's performance cycle to be used to plan, review, and evaluate work and performance and update them regularly.
 - Results of individual personnel evaluations are used to recognize personnel performance, address performance issues, implement individual and/or collective personnel development and training programs, and inform the assessment of programs and services.

Rationale:

- 4.4 Personnel Training
- Personnel, including student employees and volunteers, receive appropriate and thorough training when hired and throughout their employment.
 - Personnel have access to resources or receive specific training on institutional and governmental policies; procedures and laws pertaining to functions or activities they support; privacy and confidentiality; access to student records; sensitive institutional information; ethical and legal uses of technology; and technology used to store or access student records and institutional data.
 - Personnel are trained on how and when to refer those in need of additional assistance to qualified

personnel.

- Personnel are trained on systems and technologies necessary to perform their assigned responsibilities.
- Personnel engage in continuing professional development activities to keep abreast of research, theories, legislation, policies, and developments that affect programs and services.
- Administrators ensure that personnel are knowledgeable about and trained in safety, emergency procedures, and crisis prevention and response, including identification of threatening conduct or behavior, and incorporate a system for responding to and reporting such behaviors.
- Personnel are knowledgeable of and trained in safety and emergency procedures for securing and vacating facilities.

Rationale:

4.5 Professional Personnel

- Professional personnel either hold an earned graduate or professional degree in a field relevant to their position or possess an appropriate confirmation of educational credentials and related work experience.
- Administrators in charge of ASFA and facilities have appropriate education, experience, and credentials to adequately and safely provide a level of management consistent with industry standards and institutional expectations.
- Staff members have technical skills, training, and experience pertinent to their work.

Rationale:

4.6 Compliance and Knowledge

- All ASFA staff members understand and comply with financial, legal, personnel, and safety laws, regulations, and policies, as they relate to the core function of their unit.
- ASFA staff members are knowledgeable about programs, goods, and services offered directly.

Rationale:

4.7 Interns and Graduate Assistants

- Degree- or credential-seeking interns or graduate assistants are qualified by enrollment in an appropriate field of study and by relevant experience.
- Degree- or credential-seeking interns or graduate assistants are trained and supervised by professional personnel who possess applicable educational credentials and work experience, have supervisory experience and are cognizant of the dual roles of interns and graduate assistants as students and employees.
- Supervisors of interns or graduate assistants adhere to parameters of students' job descriptions, articulate intended learning outcomes in student job descriptions, adhere to agreed-upon work hours and schedules, and offer flexible scheduling when circumstances necessitate.
- Supervisors and students both agree to suitable compensation if circumstances necessitate additional hours.

Rationale:

- 4.8 Student Employees and Volunteers
- Student employees and volunteers are carefully selected, trained, supervised, and evaluated; have access to a supervisor; and are provided clear job descriptions, pre-service training based on assessed needs, and continuing development.

Rationale:

Overview Questions:

1. In what ways are personnel qualifications examined, performance evaluated, and personnel recognized for exemplary performance?
2. How are professional development efforts designed, how do they support achievement of ASFA mission, and how do they prepare and educate staff on relevant information?
3. How has the staffing model been developed to ensure successful program operations?
4. Describe ASFA philosophy toward engaging graduate interns and assistants, and student employees and volunteers in ASFA human resource pool.

Part 5: ETHICS

Suggested Evidence and Documentation:

1. Program code or statement of ethics
2. Ethics statements from relevant functional area professional associations
3. Personnel policies, procedures and/or handbook
4. Student code of conduct
5. Operating policies and procedures related to human subjects research (Institutional Review Board, IRB)
6. Minutes from meetings during which staff reviewed and discussed ethics

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

- 5.1 Ethical Standards
- Auxiliary Services Functional Areas (ASFA) reviews applicable professional ethical standards and adopts or develops and implements appropriate statements of ethical practice.
 - ASFA publishes and adheres to statements of ethical practice, ensures their periodic review, and orients new personnel to relevant statements of ethical practice and related institutional policies.

Rationale:

- 5.2 Statement of Ethical Standards
- Statements of ethical standards specify that ASFA personnel respect privacy and maintain confidentiality in communications and records as delineated by privacy laws.
 - Statements of ethical standards specify limits on disclosure of information contained in students' records as well as requirements to disclose to appropriate authorities.
 - Statements of ethical standards address conflicts of interest, or appearance thereof, by personnel in the performance of their work and reflect the responsibility of personnel to be fair, objective, and impartial in their interactions with others.
 - Statements of ethical standards reference management of institutional funds, appropriate behavior

regarding research and assessment with human participants, confidentiality of research and assessment data, students' rights and responsibilities, and issues surrounding scholarly integrity.

- Statements of ethical standards include the expectation that personnel confront and hold accountable other personnel who exhibit unethical behavior.

Rationale:

5.3 Ethical Obligations

- ASFA personnel employ ethical decision making in the performance of their duties.
- ASFA personnel inform users of programs and services of ethical obligations and limitations emanating from codes and laws or from licensure requirements.
- ASFA personnel recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation.
- ASFA personnel perform their duties within the scope of their position, training, expertise, and competence and make referrals when issues presented exceed the scope of the position.

Rationale:

5.4 Ethical Communication and Practice

- Marketing and advertising is informative, accurate, respectful, non-deceptive, and useful to students, faculty members, staff, and visitors.
- Private information disclosed by clients, students, faculty members, staff, and visitors in the course of conducting business (e.g., credit card information, medical conditions) is treated as confidential unless clearly indicated otherwise by the person providing it.
- ASFA representatives do not accept gifts from those who seek to do business or who intend to bid on contracts.

Rationale:

Overview Questions:

1. What is ASFA's strategy for managing student and personnel confidentiality and privacy issues?
2. How are ethical dilemmas and conflicts of interest identified and addressed?
3. How are ethics incorporated into the daily management and decision-making processes of ASFA?

Part 6: LAW, POLICY, AND GOVERNANCE

Suggested Evidence and Documentation:

1. Emergency procedures
2. Operating policies and procedures
3. Personnel policies, procedures and/or handbook
4. Institutional codes of conduct
5. Contracts
6. Copies of related laws and legal obligations
7. Resources of professional liability insurance

Criterion Measures:

DNA	IE	0	1	2	3
-----	----	---	---	---	---

Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds
----------------	--	---------------	--------------	-------	---------

- 6.1 Legal Obligations and Responsibilities
- Auxiliary Services Functional Areas (ASFA) is in compliance with laws, regulations, and policies that relate to their respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole.
 - ASFA has access to legal advice needed for personnel to carry out their assigned responsibilities.
 - ASFA informs personnel, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.
 - ASFA informs personnel about professional liability insurance options and refer them to external sources if the institution does not provide coverage.

Rationale:

- 6.2 Policies and Procedures
- ASFA has written policies and procedures on operations, transactions, or tasks that have legal implications.
 - ASFA regularly reviews policies that are informed by best practices, available evidence, and policy issues in higher education.
 - ASFA has procedures, systems and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations and disseminate timely and accurate information to students, other members of the institutional community, and appropriate external organizations during emergency situations.

Rationale:

- 6.3 Harassment and Hostile Environments
- Program personnel neither participate in nor condone any form of harassment or activity that demeans persons or creates an intimidating, hostile, or offensive environment.

Rationale:

- 6.4 Copyright Compliance
- ASFA purchases or obtains permission to use copyrighted materials and instruments and include appropriate citations on materials and instruments.

Rationale:

- 6.5 Governance
- ASFA informs personnel about internal and external governance organizations that affect programs and services.

Rationale:

- 6.6 Professional Knowledge

- ASFA leaders have specific knowledge of legal issues and requirements that apply to functional areas under their control.
- ASFA professionals are aware of and understand due process, employment procedures, equal opportunity, civil rights, and liberties.

Rationale:

6.7 Liability Monitoring

- ASFA continually monitors liability for potentially harmful, wrongful, or negligent activities and situations.

Rationale:

Overview Questions:

1. What are the crucial legal, policy and, governance issues faced by ASFA, and how are they addressed?
2. How are personnel instructed, advised, or assisted with legal, policy, and governance concerns?
3. How are personnel informed about internal and external governance systems?

Part 7: DIVERSITY, EQUITY, AND ACCESS

Suggested Evidence and Documentation:

1. Diversity statements
2. Goals and objectives related to diversity, equity, and access
3. Training plans and agendas for personnel
4. Lists of programs and curriculums related to diversity, equity, and access
5. Personnel policies, procedures, and/or handbook (specifically statements against harassment or discrimination)
6. Facilities audit
7. Assessment results such as participation rates, demographics, campus climate, and student needs

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

7.1 Inclusive Work Environments

- Auxiliary Services Functional Areas (ASFA) creates and maintains educational work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.
- ASFA does not discriminate on the basis of ability; age; cultural identity; ethnicity; family educational history; gender identity and expression; nationality; political affiliation; race; religious affiliation; sex; sexual orientation; economic, marital, social, or veteran status; or any other basis included in institutional policies and codes and laws.

Rationale:

7.2 Structural Aspects of Equity, Access, and Inclusion

- ASFA ensures physical, program, and resource access for all constituents; modifies or removes policies, practices, systems, technologies, facilities, and structures that create barriers or produce inequities; and ensures that when facilities and structures cannot be modified, they do not impede

access.

- ASFA responds to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources.
- ASFA recognizes the needs of distance and online learning students by directly providing or assisting them to gain access to comparable services and resources.

Rationale:

7.3 Ensuring Diversity, Equity, and Access

- ASFA advocates for sensitivity to multicultural and social justice concerns by the institution and its personnel.
- ASFA establishes goals for diversity, equity, and access; fosters communication and practices that enhance understanding of identity, culture, self-expression, and heritage; and promotes respect for commonalities and differences among people within their historical and cultural contexts.
- ASFA addresses the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices.
- ASFA provides personnel with diversity, equity, and access training and holds personnel accountable for applying the training to their work.

Rationale:

7.4 Shared Responsibility for Diverse Student Needs

- All institutional units and contractors that provide services to students share responsibility for meeting the needs of the wide variety of students on campus.
- Coordinated efforts to promote multicultural sensitivity and the elimination of prejudicial behaviors in all functional areas on campus are encouraged.

Rationale:

Overview Questions:

1. How does ASFA ensure constituents experience a welcoming, accessible, and inclusive environment that is equitable and free from harassment?
2. How does ASFA address imbalance in participation among selected populations of students?
3. How does ASFA address imbalance in staffing patterns among selected populations of program personnel?
4. How does ASFA ensure cultural competence of its personnel to ensure inclusion in ASFA?
5. How does ASFA encourage and provide opportunities for ongoing professional development for its personnel?

Part 8: INTERNAL AND EXTERNAL RELATIONS

Suggested Evidence and Documentation:

1. Promotional material (brochures/sources of information about ASFA, catalogs, brochures, staff and student handbooks)
2. Media procedures and guidelines
3. List and description of relationships with internal and external partners
4. Minutes from meetings/interactions with key stakeholders

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

8.1 Internal and External Populations

- Auxiliary Services Functional Areas (ASFA) reaches out to internal and external populations to establish, maintain, and promote understanding and effective relations with those that have a significant interest in or potential effect on the students or other constituents served by the programs and services.
- ASFA reaches out to internal and external populations to garner support and resources for programs and services, collaborate in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes, and engage diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents.
- ASFA reaches out to internal and external populations to disseminate information about the programs and services.

Rationale:

8.2 Marketing

- Promotional and descriptive information is accurate and free of deception and misrepresentation.

Rationale:

8.3 Procedures and Guidelines

- ASFA has procedures and guidelines consistent with institutional policy to communicate with the media; distribute information through print, broadcast, and online sources; contract with external organizations for delivery of programs and services; cultivate, solicit, and manage gifts; and apply to and manage funds from grants.

Rationale:

8.4 Outside Contractors

- When services are managed by outside contractors, processes are in place to ensure that administration of the services remains the responsibility of the institution.

Rationale:

Overview Questions:

1. With which relevant individuals, campus offices, and external agencies must ASFA maintain effective relations? Why are these relationships important, and how are they mutually beneficial?
2. How does ASFA maintain effective relationships with program constituents?
3. How does ASFA assess the effectiveness of its relations with individuals, campus offices and external agencies?

Part 9: FINANCIAL RESOURCES

Suggested Evidence and Documentation:

1. Budgets and the budget process
2. Financial statements and audit reports
3. Student fee process and allocation (if applicable)
4. Financial statements for grants, gifts, and other external resources

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

9.1 Adequate Funding

- Auxiliary Services Functional Areas (ASFA) has funding to accomplish its mission and goals.

Rationale:

9.2 Financial Planning and Implementation

- ASFA conducts a comprehensive analysis to determine unmet needs, relevant expenditures, external and internal resources, and impact on students and the institution.
- ASFA uses the budget as a planning tool to reflect commitment to the mission and goals of the programs and services and of the institution.
- Financial reports provide an accurate financial overview of the organization and provide clear, understandable, and timely data upon which personnel can plan and make informed decisions.

Rationale:

9.3 Policies, Procedures, and Protocols

- ASFA administers funds in accordance with established institutional accounting procedures.
- ASFA demonstrates efficient and effective use and responsible stewardship of fiscal resources consistent with institutional protocols.
- Procurement procedures are consistent with institutional policies, ensure purchases comply with laws and codes for usability and access, ensure the institution receives value for the funds spent, and consider information available for comparing the ethical and environmental impact of products and services purchased.

Rationale:

Overview Questions:

1. What is the funding strategy for ASFA, and why is this the most appropriate approach?
2. How does ASFA ensure fiscal responsibility, responsible stewardship, and cost-effectiveness?
3. If applicable, how does ASFA go about increasing financial resources?

Part 10: TECHNOLOGY

Suggested Evidence and Documentation:

1. Technology policies and procedures
2. Equipment inventory

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

- 10.1 Current and Adequate Technology
- Auxiliary Services Functional Areas (ASFA) has adequate technology to support achievement of its mission and goals.
 - Use of technology complies with institutional policies and procedures and relevant codes and laws.

Rationale:

- 10.2 Use of Technology
- ASFA uses current technology to provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and other constituents in accessible formats.
 - ASFA uses current technology to provide an avenue for students and other constituents to communicate sensitive information in a secure format, and enhance the delivery of programs and services for all students.

Rationale:

- 10.3 Data Protection and Upgrades
- ASFA backs up data on a regular basis.
 - ASFA articulates and adheres to policies and procedures regarding ethical and legal use of technology, as well as for protecting the confidentiality and security of information.
 - ASFA implements a replacement plan and cycle for all technology with attention to sustainability and incorporates accessibility features into technology-based programs and services.

Rationale:

- 10.4 Student Technology Access
- ASFA has policies on student use of technology that are clear, easy to understand, and available to all students.
 - ASFA provides information or referral to support services for those needing assistance in accessing or using technology, provides instruction or training on how to use the technology, and informs students of implications of misuse of technologies.

Rationale:

Overview Questions:

1. How is technology inventoried, maintained, and updated?
2. How is information security maintained?
3. How does ASFA ensure that relevant technology is available for all who are served by ASFA?
4. How does ASFA use technology to enhance the delivery of programs, resources, services and overall operations?
5. How does ASFA utilize technology to foster its learning outcomes?

Part 11: FACILITIES AND EQUIPMENT

Suggested Evidence and Documentation:

1. Equipment inventory
2. Facilities audit and plans for renovations, additions, and enhancements
3. Capital projects, if applicable
4. Structural design or maps to show space allocation
5. Images of the space

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

- 11.1 Design of Facilities
- Auxiliary Services Functional Areas (ASFA) facilities are intentionally designed and located in suitable, accessible, and safe spaces that demonstrate universal design and support the program’s mission and goals.
 - Facilities are designed to engage various constituents and promote learning.
 - The design of the facilities guarantees the security and privacy of records and ensures the confidentiality of sensitive information and conversations.

Rationale:

- 11.2 Work Space
- Personnel have workspaces that are suitably located and accessible, well equipped, adequate in size, and designed to support their work and responsibilities.
 - Personnel are able to secure their work.

Rationale:

- 11.3 Equipment Acquisition and Facilities Use
- ASFA incorporates sustainable practices in use of facilities and purchase of equipment.
 - Facilities and equipment are evaluated on an established cycle and are in compliance with codes, laws, and accepted practices for access, health, safety, and security.
 - When acquiring capital equipment, ASFA takes into account expenses related to regular maintenance and life-cycle costs.

Rationale:

- 11.4 Facilities Maintenance
- ASFA periodically reviews and evaluates equipment and facilities to assess current and future needs.
 - Regularly scheduled cleaning of public areas is provided, and grounds associated with ASFA facilities, which may include streets, paved walks, and parking lots, are clean and well maintained.

Rationale:

- 11.5 Recycling, Energy Conservation, and Sustainability
 - Recycling, energy conservation, and sustainability efforts are implemented throughout the ASFA and are compliant with institutional guidelines, government regulations, and contractual agreements.

Rationale:

Overview Questions:

1. How are facilities inventoried and maintained?
2. How does ASFA integrate sustainable practices?
3. How does ASFA ensure that facilities, workspaces, and equipment are considered in decision-making?
4. How is ASFA intentional about space allocation and usage?

Part 12: ASSESSMENT

Suggested Evidence and Documentation:

1. Program goals, key indicators, outcomes, and related assessment data
2. Program student learning and development outcomes and related assessment data
3. Description of assessment cycle
4. Assessment plans and annual assessment reports
5. Minutes of meetings at which assessment activities and results discussed
6. Professional development activities to improve assessment competence

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

- 12.1 Assessment Plan and Practice
 - Auxiliary Services Functional Areas (ASFA) develops an ongoing cycle of assessment plans, processes, and activities.
 - ASFA identifies programmatic goals and intended program outcomes as well as outcomes for student learning and development.
 - ASFA documents progress toward achievement of goals and outcomes.
 - ASFA employs multiple measures, methods, and manageable processes for gathering, interpreting, and evaluating data.
 - ASFA employs ethical practices in the assessment process.
 - ASFA has access to adequate fiscal, human, professional development, and technological resources to develop and implement assessment plans.

Rationale:

- 12.2 Program Data and Documentation
 - ASFA maintains accurate and current documentation on program data such as usage rates, peak times of usage, learning outcomes, sales and revenue, student satisfaction, and value contribution.

Rationale:

12.3 Cost Analysis and Market Research

- Cost analysis and market research is conducted at least annually when setting fees for goods and services to be offered to students, faculty members, and staff.

Rationale:

12.4 Reporting and Implementing Results

- ASFA interprets and uses assessment results to demonstrate accountability and inform planning and decision-making.
- ASFA reports aggregated results to respondent groups and stakeholders.
- ASFA assesses effectiveness of implemented changes and provides evidence of improvement of programs and services.

Rationale:

Overview Questions:

1. What is the comprehensive assessment strategy for ASFA?
2. What are priorities of the assessment program, and how are those developed?
3. How does ASFA integrate assessment and evaluation into all aspects of daily operations (e.g., advising, event planning)?
4. How are tangible, measurable learning and program outcomes determined to ensure program achievement of mission and goals?
5. How effective is the assessment strategy in demonstrating goal achievement and student learning?
6. How does ASFA use assessment results to inform program improvement?
7. How does ASFA share assessment results with relevant constituencies?
8. How does ASFA support ongoing development of assessment competencies for personnel?

*General Standards revised in 2014;
ASFA content developed in 2007*

Work Form A – Rating Discrepancies

INSTRUCTIONS:

This work form should be completed following a review of the individual ratings of the team members. Item numbers for which there is a substantial rating discrepancy should be discussed before completing the remaining work forms. Discrepancies among ratings should be identified, discussed, and reconciled for consensus.

Part	Discrepancies	Resolution/Final Decision
1. Mission		
2. Program		
3. Organization and Leadership		
4. Human Resources		
5. Ethics		
6. Law, Policy, and Governance		
7. Diversity, Equity, and Access		
8. Internal and External Relations		
9. Financial Resources		
10. Technology		
11. Facilities and Equipment		
12. Assessment		

Work Form B – Strengths and Areas for Improvement

INSTRUCTIONS:

This work form should be completed following a review of the individual ratings of the team members. Examine the ratings of each criterion measure by the team members, and record the following in the form below:

- Strengths: Item number(s) for which all participants have given a rating of 3, indicating agreement that the criterion *exceeds* the standard.
- Areas for Improvement: Item number(s) for which all participants have given a rating of 0 or 1, indicating agreement that the criterion *does not meet* or *partly meets* the standard. Items rated IE for *insufficient evidence/unable to rate* should be listed here as well.

Note – Items not listed in one of these categories represent consensus among the raters that practice in that area is satisfactory, having been rated a 2, which indicates agreement that the criterion *meets* the standard.

Part	Strengths: Items that exceed the standard (consensus ratings = 3)	Areas for Improvement: Items that do not meet or partly meet the standard (consensus ratings = 0, 1)
1. Mission		
2. Program		
3. Organization and Leadership		
4. Human Resources		
5. Ethics		
6. Law, Policy, and Governance		
7. Diversity, Equity, and Access		
8. Internal and External Relations		
9. Financial Resources		

10. Technology		
11. Facilities and Equipment		
12. Assessment		

Work Form C – Recommendations for Unit Action

INSTRUCTIONS:

This is the last form to be completed by the review team. List the items needing follow-up action for improvement and indicate what requires attention. The team or coordinator should consider including any criterion measure rated as being not met by the reviewers, as well as those with significant discrepancies that are not resolved by team discussion.

Part	Item Requiring Attention
1. Mission	
2. Program	
3. Organization and Leadership	
4. Human Resources	
5. Ethics	
6. Law, Policy, and Governance	
7. Diversity, Equity, and Access	
8. Internal and External Relations	
9. Financial Resources	
10. Technology	
11. Facilities and Equipment	
12. Assessment	

Work Form D – Beginning the Action Plan

INSTRUCTIONS:

This work form is for use by the staff of the unit being reviewed and is the first step in identifying the actions to be taken as a consequence of study results. Using the Items Requiring Attention listed in Work Form C, write a brief action plan that identifies the focus and intended outcomes of the next steps in to be taken in each area.

Part 1. Mission

Part 2. Program

Part 3. Organization and Leadership

Part 4. Human Resources

Part 5. Ethics

Part 6. Law, Policy, and Governance

Part 7. Diversity, Equity, and Access

Part 8. Internal and External Relations

Part 9. Financial Resources

Part 10. Technology

Part 11. Facilities and Equipment

Part 12. Assessment

AUXILIARY SERVICES FUNCTIONAL AREAS

CAS Standards and Guidelines

Part 1. MISSION

Auxiliary Services Functional Areas (ASFA) are multi-functional organizations that address many of the out-of-classroom needs of students, faculty, staff, and visitors on college and university campuses. Typical ASFA follow business practices and principles in their service design, and they operate enterprises that provide goods and services on campus.

ASFA must adhere to ethical, effective, efficient, and sustainable business practices in the provision of relevant, quality, on-campus services that support and enhance the campus environment for students, faculty, staff, and visitors, and provide opportunities for student development.

ASFA must develop, disseminate, implement, and regularly review their missions, which must be consistent with the mission of the institution and with applicable professional standards. The mission must be appropriate for the institution's students and other constituents. Mission statements must reference student learning and development.

Part 2. PROGRAM

To achieve their mission, Auxiliary Services Functional Areas (ASFA) must contribute to

- students' formal education, which includes both the curriculum and the co-curriculum
- student progression and timely completion of educational goals
- preparation of students for their careers, citizenship, and lives
- student learning and development

To contribute to student learning and development, ASFA must

- identify relevant and desirable student learning and development outcomes
- articulate how the student learning and development outcomes align with the six CAS student learning and development domains and related dimensions
- assess relevant and desirable student learning and development
- provide evidence of impact on outcomes
- articulate contributions to or support of student learning and development in the domains not specifically assessed
- use evidence gathered to create strategies for improvement of programs and services

STUDENT LEARNING AND DEVELOPMENT DOMAINS AND DIMENSIONS

Domain: knowledge acquisition, integration, construction, and application

- Dimensions: understanding knowledge from a range of disciplines; connecting knowledge to other knowledge, ideas, and experiences; constructing knowledge; and relating knowledge to daily life

Domain: cognitive complexity

- Dimensions: critical thinking, reflective thinking, effective reasoning, and creativity

Domain: intrapersonal development

- Dimensions: realistic self-appraisal, self-understanding, and self-respect; identity development; commitment to ethics and integrity; and spiritual awareness

Domain: interpersonal competence

- Dimensions: meaningful relationships, interdependence, collaboration, and effective leadership

Domain: humanitarianism and civic engagement

- Dimensions: understanding and appreciation of cultural and human differences, social responsibility, global perspective, and sense of civic responsibility

Domain: practical competence

- Dimensions: pursuing goals, communicating effectively, technical competence, managing personal affairs, managing career development, demonstrating professionalism, maintaining health and wellness, and living a purposeful and satisfying life

[LD Outcomes: See *The Council for the Advancement of Standards Learning and Development Outcomes* statement for examples of outcomes related to these domains and dimensions.]

ASFA must be

- intentionally designed
- guided by theories and knowledge of learning and development
- integrated into the life of the institution
- reflective of developmental and demographic profiles of the student population
- responsive to needs of individuals, populations with distinct needs, and relevant constituencies
- delivered using multiple formats, strategies, and contexts
- designed to provide universal access

ASFA must collaborate with colleagues and departments across the institution to promote student learning and development, persistence, and success.

Auxiliary Services Functional Areas (ASFA) are expected to provide programs that target specific needs; facilities; items for sale that the ASFA and institution consider appropriate to the campus community; support services for students, faculty members, staff, and visitors; administration; information; clearly stated schedules and hours of operation; value; efficiency; and a fair cost structure.

ASFA, in conjunction with appropriate partners, must

- introduce and orient students to facilities, services, staff members, and functions
- educate students on relevant safety, security, and emergency concerns
- clearly explain policies, procedures, and expectations
- develop an atmosphere conducive to educational pursuits, community, and interpersonal growth, in a safe and non-threatening environment
- provide a balanced variety of social, cultural, and intellectual options that is reflective of the diversity of the campus
- remain transparent and open to dialogue with customers and stakeholders

ASFA, in conjunction with appropriate partners, may be expected to

- establish formal relationships and agreements with other campus service units
- collaborate with specific academic and campus units in design and provision of ASFA services
- provide opportunities for student employment, management training, and leadership development
- contribute to the socialization of students
- be self-funding (self-supporting) and contribute financially to the institution
- adhere to generally accepted practices of accounting, audit, and business records management
- function as an ancillary enterprise (separate but in concert with the academic enterprise)
- supervise contract-managed functional areas and services

Part 3. ORGANIZATION AND LEADERSHIP

To achieve program and student learning and development outcomes, Auxiliary Services Functional Areas (ASFA) must be purposefully structured for effectiveness. ASFA must have clearly stated and current

- goals and outcomes
- policies and procedures
- responsibilities and performance expectations for personnel
- organizational charts demonstrating clear channels of authority

Leaders must model ethical behavior and institutional citizenship.

Leaders with organizational authority for ASFA must provide strategic planning, management and supervision, and program advancement.

Strategic Planning

- articulate a vision and mission that drive short- and long-term planning
- set goals and objectives based on the needs of the populations served, intended student learning and development outcomes, and program outcomes
- facilitate continuous development, implementation, and assessment of program effectiveness and goal attainment congruent with institutional mission and strategic plans
- promote environments that provide opportunities for student learning, development, and engagement
- develop, adapt, and improve programs and services in response to the changing needs of populations served and evolving institutional priorities
- include diverse perspectives to inform decision making

Management and Supervision

- plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources
- manage human resource processes including recruitment, selection, professional development, supervision, performance planning, succession planning, evaluation, recognition, and reward
- influence others to contribute to the effectiveness and success of the unit
- empower professional, support, and student personnel to become effective leaders
- encourage and support collaboration with colleagues and departments across the institution
- encourage and support scholarly contributions to the profession
- identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement
- use current and valid evidence to inform decisions
- incorporate sustainability practices in the management and design of programs, services, and facilities
- understand appropriate technologies and integrate them into programs and services
- be knowledgeable about codes and laws relevant to programs and services and ensure that programs and services meet those requirements
- assess and take action to mitigate potential risks

Program Advancement

- advocate for and actively promote the mission and goals of the programs and services
- inform stakeholders about issues affecting practice
- facilitate processes to reach consensus where wide support is needed
- advocate for representation in strategic planning initiatives at divisional and institutional levels

ASFA leaders should provide all employees with guidance on

- using effective and appropriate strategies for communicating with customers and stakeholders
- staying current with student needs, issues, perspectives, and desires
- cultivating and perpetuating relations with all campus departments
- working with student, campus, and academic leaders and organizations
- exercising safety and the safe provision of ASFA programs, goods, and services
- facility maintenance and efficient use of campus facilities, equipment, and financial and human resources
- employing standards, best practices, and processes for budgeting, contracting, purchasing, accounting, reporting, auditing, personnel administration, and record keeping
- establishing and maintaining effective relations with community and business agencies and offices
- promoting equal access to services, programs, and facilities for all students, faculty members, staff, and other customers
- implementing effective practices and responses to trends in the respective ASFA functional area community or industry

ASFA must maintain accurate and current documentation on

- operational policies and procedures

- agreements (e.g., contracts, leases) with outsourced service providers and vendors including good faith agreements and amendments
- memoranda of understanding with campus service providers
- standards of performance and other expectations of service providers
- access provisions for clients and employees with disabilities
- day-to-day operations such as fiscal controls, maintenance of physical plant and equipment, provision of services, supervision of personnel, and customer relations

ASFA must consult with members of the campus community regarding its operations, governance, and programming structure, and the formulation of ASFA policies and procedures.

ASFA, in consultation with students, faculty members, staff, administration, and other constituents, must determine and document facility operating policies, budgets, allocations of funds, employment policies, space allocation, products and services to be offered, and hours of operation.

When these areas of consideration are part of a contractual agreement, it may be necessary to address them within pre-determined review or renewal time frames.

ASFA should be organized to

- deliver successful programs, goods, and services that are supportive of the institution's mission
- operate its business enterprises effectively and efficiently
- conduct satisfaction surveys, learning outcomes evaluations, and other assessment
- meet or exceed fiscal expectations, consistent with its organizational structure
- maintain its physical plant resources
- exercise enterprising and entrepreneurial leadership in a manner that does not detract from the core mission of the institution

Involvement of the campus community may include students, faculty members, staff, visitors, alumni, and other constituents and stakeholders, as appropriate. Typically such involvement is through advisory, governing, and program boards, committees, or through feedback via surveys and focus groups.

Additional areas for consideration in determining structure and management of the ASFA may include:

- availability and characteristics of facilities
- size, nature, and mission of the institution
- size, scope, proximity, and availability of services in the surrounding community
- ratio of residential to commuter/off-campus student populations
- budget and finance expectations
- institutional philosophy, policies, and preferences concerning outsourcing and privatization
- variety of delivery methods being employed or available to the institution
- degree of integration with academic disciplines and academic service units
- goals of ASFA and its partners

Part 4. HUMAN RESOURCES

Auxiliary Services Functional Areas (ASFA) must be staffed adequately by individuals qualified to accomplish mission and goals.

ASFA must have access to technical and support personnel adequate to accomplish their mission.

Within institutional guidelines, ASFA must

- establish procedures for personnel recruitment and selection, training, performance planning, and evaluation
- set expectations for supervision and performance
- provide personnel access to continuing and advanced education and appropriate professional development opportunities to improve their competence, skills, and leadership capacity
- consider work/life options available to personnel (e.g., compressed work schedules, flextime, job sharing, remote work, or telework) to promote recruitment and retention of personnel

Administrators of ASFA must

- ensure that all personnel have updated position descriptions
- implement recruitment and selection/hiring strategies that produce a workforce inclusive of under-represented populations
- develop promotion practices that are fair, inclusive, proactive, and non-discriminatory

Personnel responsible for delivery of ASFA must have written performance goals, objectives, and **outcomes for each year's performance cycle to be used to plan, review, and evaluate work and performance.** The performance plan must be updated regularly to reflect changes during the performance cycle.

Results of individual personnel evaluations must be used to recognize personnel performance, address performance issues, implement individual and/or collective personnel development and training programs, and inform the assessment of programs and services.

ASFA personnel, when hired and throughout their employment, must receive appropriate and thorough training.

ASFA personnel, including student employees and volunteers, must have access to resources or receive specific training on

- institutional policies pertaining to functions or activities they support
- privacy and confidentiality policies
- laws regarding access to student records
- policies and procedures for dealing with sensitive institutional information
- policies and procedures related to technology used to store or access student records and institutional data
- how and when to refer those in need of additional assistance to qualified personnel and have access to a supervisor for assistance in making these judgments
- systems and technologies necessary to perform their assigned responsibilities
- ethical and legal uses of technology

ASFA personnel must engage in continuing professional development activities to keep abreast of the research, theories, legislation, policies, and developments that affect their programs and services.

Administrators of ASFA must ensure that personnel are knowledgeable about and trained in safety, emergency procedures, and crisis prevention and response. Risk management efforts must address identification of threatening conduct or behavior and must incorporate a system for responding to and reporting such behaviors.

ASFA personnel must be knowledgeable of and trained in safety and emergency procedures for securing and vacating facilities.

PROFESSIONAL PERSONNEL

ASFA professional personnel either must hold an earned graduate or professional degree in a field relevant to their position or must possess an appropriate combination of educational credentials and related work experience.

INTERNS OR GRADUATE ASSISTANTS

Degree- or credential-seeking interns or graduate assistants must be qualified by enrollment in an appropriate field of study and relevant experience. These students must be trained and supervised by professional personnel who possess applicable educational credentials and work experience and have supervisory experience. Supervisors must be cognizant of the dual roles interns and graduate assistants have as both student and employee.

Supervisors must

- adhere to parameters of students' job descriptions
- articulate intended learning outcomes in student job descriptions
- adhere to agreed-upon work hours and schedules
- offer flexible scheduling when circumstances necessitate

Supervisors and students must both agree to suitable compensation if circumstances necessitate additional hours.

STUDENT EMPLOYEES AND VOLUNTEERS

Student employees and volunteers must be carefully selected, trained, supervised, and evaluated. Students must have access to a supervisor. Student employees and volunteers must be provided clear job descriptions, pre-service training based on assessed needs, and continuing development.

Staff must include persons reasonably capable of providing temporary oversight for entire units as well as their specialty, should the need require it.

Staff members must have technical skills, training, and experience pertinent to their work.

All ASFA staff members must understand and comply with financial, legal, personnel, and safety laws, regulations, and policies, as they relate to the core function of their unit.

Administrators in charge of ASFA and facilities must have appropriate education, experience, and credentials to adequately and safely provide a level of management consistent with industry standards and institutional expectations.

ASFA staff members must be knowledgeable about programs, goods, and services offered directly.

ASFA staff members should be familiar with related services offered by other campus agencies.

In addition to providing fair wages, ASFA should treat student employment as an important part of a student's education and intentionally incorporate career-related skills, training, and professional responsibilities into the employment experience.

ASFA should provide living wages to all employees.

A thorough job training program should be provided for all employees and volunteers and should include leadership and personal development opportunities.

ASFA staff members should strive to develop and maintain staff relations in a climate of mutual respect, support, trust, and interdependence. Recognizing the strengths and limitations of each professional staff member, professional development opportunities should be regularly made available, consistent with needs and budgets.

Relationships between ASFA and their shareholders will depend heavily on the effectiveness, cooperation, support, and behavior of front line service personnel. Training should be closely supervised and monitored, and current industry practices should be evident in service processes, standards, and evaluation.

Desirable qualities of ASFA staff members should include

- knowledge of and ability to use management and leadership principles
- ability to train, influence, supervise, and evaluate student employees and volunteers, particularly at entry levels
- experience in assessment and planning
- interpersonal skills applicable to a variety of cultures
- ability to explain the ASFA mission and articulate the program's relationship to the mission of the institution
- knowledge of and ability to apply student development and learning theories

Desirable qualities of staff members may include

- technical proficiency certification
- knowledge of environmental and industry trends
- effective professional communication and presentation skills
- attributes necessary to meet job-related physical requirements

Part 5. ETHICS

Auxiliary Services Functional Areas (ASFA) must

- review applicable professional ethical standards and must adopt or develop and implement appropriate statements of ethical practice
- publish and adhere to statements of ethical practice and ensure their periodic review
- orient new personnel to relevant ethical standards and statements of ethical practice and related institutional policies

Statements of ethical standards must

- specify that ASFA personnel respect privacy and maintain confidentiality in communications and records as delineated by privacy laws
- specify limits on disclosure of information contained in students' records as well as requirements to disclose to appropriate authorities
- address conflicts of interest, or appearance thereof, by personnel in the performance of their work
- reflect the responsibility of personnel to be fair, objective, and impartial in their interactions with others
- reference management of institutional funds
- reference appropriate behavior regarding research and assessment with human participants, **confidentiality of research and assessment data, and students' rights and responsibilities**
- include the expectation that personnel confront and hold accountable other personnel who exhibit unethical behavior
- address issues surrounding scholarly integrity

ASFA personnel must

- employ ethical decision making in the performance of their duties
- inform users of programs and services of ethical obligations and limitations emanating from codes and laws or from licensure requirements
- recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation
- perform their duties within the scope of their position, training, expertise, and competence
- make referrals when issues presented exceed the scope of the position

Marketing and advertising, when conducted, must be informative, accurate, respectful, non-deceptive, and useful to students, faculty members, staff, and visitors.

Private information disclosed by clients, students, faculty members, staff, and visitors in the course of conducting business (e.g., credit card information, medical conditions) must be treated as confidential unless clearly indicated otherwise by the person providing it.

ASFA representatives must not accept gifts from those who seek to do business or who intend to bid on contracts.

They should avoid activities that give the appearance of favoritism or advantage to any entity seeking to do business with ASFA.

Ethical standards of relevant professional associations should be considered.

ASFA should consider the ethical standards and expectations of suppliers and contractors with whom they do business.

Each ASFA staff member should respect students as individuals, each with rights and responsibilities, each with goals and needs, and with this in mind, should seek to create and maintain environments that enhance learning and personal development.

ASFA should exercise professionalism, expertise, and care in the development and handling of requests for proposals, bids, and contracts related to purchases, lease agreements, contractual service agreements, and any agreement that affects students and/or the institution.

Part 6. LAW, POLICY, AND GOVERNANCE

Auxiliary Services Functional Areas (ASFA) must be in compliance with laws, regulations, and policies that relate to their respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole. Examples include constitutional, statutory, regulatory, and case law; relevant law and orders emanating from codes and laws; and the institution's policies.

ASFA must have access to legal advice needed for personnel to carry out their assigned responsibilities.

ASFA must inform personnel, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.

ASFA must inform personnel about professional liability insurance options and refer them to external sources if the institution does not provide coverage.

ASFA must have written policies and procedures on operations, transactions, or tasks that have legal implications.

ASFA must regularly review policies. The revision and creation of policies must be informed by best practices, available evidence, and policy issues in higher education.

ASFA must have procedures and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations. Systems and procedures must be in place to disseminate timely and accurate information to students, other members of the institutional community, and appropriate external organizations during emergency situations.

Personnel must neither participate in nor condone any form of harassment or activity that demeans persons or creates an intimidating, hostile, or offensive environment.

ASFA must purchase or obtain permission to use copyrighted materials and instruments. References to copyrighted materials and instruments must include appropriate citations.

ASFA must inform personnel about internal and external governance organizations that affect programs and services.

ASFA leaders must have specific knowledge of legal issues and requirements that apply to functional areas under their control.

ASFA must continually monitor liability for potentially harmful, wrongful, or negligent activities and situations.

ASFA professionals must be aware of and understand due process, employment procedures, equal opportunity, civil rights, and liberties.

ASFA may be required to carry insurance if not sufficiently covered under the institution's policy.

Part 7. DIVERSITY, EQUITY, AND ACCESS

Within the context of each institution's mission and in accordance with institutional policies and applicable codes and laws, Auxiliary Services Functional Areas (ASFA) must create and maintain educational and work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.

ASFA must not discriminate on the basis of disability; age; race; cultural identity; ethnicity; nationality; family educational history (e.g., first generation to attend college); political affiliation; religious affiliation; sex; sexual orientation; gender identity and expression; marital, social, economic, or veteran status; or any other basis included in institutional policies and codes and laws.

ASFA must

- advocate for sensitivity to multicultural and social justice concerns by the institution and its personnel
- ensure physical, program, and resource access for all constituents
- modify or remove policies, practices, systems, technologies, facilities, and structures that create barriers or produce inequities
- ensure that when facilities and structures cannot be modified, they do not impede access to programs, services, and resources
- establish goals for diversity, equity, and access
- foster communication and practices that enhance understanding of identity, culture, self-expression, and heritage
- promote respect for commonalities and differences among people within their historical and cultural contexts

- address the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices
- provide personnel with diversity, equity, and access training and hold personnel accountable for applying the training to their work
- respond to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources
- recognize the needs of distance and online learning students by directly providing or assisting them to gain access to comparable services and resources

ASFA should provide services and information through a variety of appropriate formats including web sites, e-mail, walk-ins during office hours, telephone, individual appointments, and customer service systems.

ASFA should ensure that services provided through third parties are offered on a fair and equitable basis and in a manner consistent with the mission of the institution.

ASFA may provide manuals, instructions, policies, signs, and training, in one or more languages in addition to English for predominant groups of employees who speak a language other than English.

All institutional units and contractors that provide services to students must share responsibility for meeting the needs of the wide variety of students on campus. Coordinated efforts to promote multicultural sensitivity and the elimination of prejudicial behaviors in all functional areas on campus must be encouraged.

ASFA should make reasonable effort to address and educate the campus community concerning cultural, religious, racial, socioeconomic, and other aspects of identity that are unique to ASFA services, such as food, holiday recognition, and products offered for sale.

Outsourced programs and services are accountable to the institution. As such, a diversity liaison should exist within each outsourced ASFA to help ensure that a diverse workplace and environment exist, consistent with the goals of the institution.

Part 8. INTERNAL AND EXTERNAL RELATIONS

Auxiliary Services Functional Areas (ASFA) must reach out to individuals, groups, communities, and organizations internal and external to the institution to

- establish, maintain, and promote understanding and effective relations with those that have a significant interest in or potential effect on the students or other constituents served by the programs and services
- garner support and resources for programs and services as defined by the mission
- collaborate in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes
- engage diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents
- disseminate information about the programs and services

Promotional and descriptive information must be accurate and free of deception and misrepresentation.

ASFA must have procedures and guidelines consistent with institutional policy for

- communicating with the media
- distributing information through print, broadcast, and online sources
- contracting with external organizations for delivery of programs and services
- cultivating, soliciting, and managing gifts
- applying to and managing funds from grants

When services are managed by outside contractors, processes must be in place to ensure that administration of the services remains the responsibility of the institution.

ASFA should share information, initiate and promote program opportunities, encourage staff development, and enhance ASFA program visibility by

- establishing cooperative relationships with procurement, student affairs, and academic departments, and direct service providers such as campus programs, alumni, parking, visitor services, libraries, bookstore, enrollment management, athletics, institutional advancement, campus information, and visitor services
- encouraging staff participation in civic and community organizations such as Rotary, Kiwanis, and Chamber of Commerce as well as involvement in ASFA professional associations
- nurturing cooperative relationships with local, state/provincial, and federal governmental entities

ASFA should adhere to institution-wide processes that systematically involve academic affairs, student affairs, and administrative units such as police, physical plant, and business offices.

ASFA should collaborate with campus agencies, as appropriate, and meet regularly with other service providers to coordinate schedules and facility use and to review services and activities under development.

ASFA should serve as a resource to the campus and community by providing professional advice on market demand, development of new auxiliary services, related business issues, and current industry activities.

ASFA should value marketing as a core function for education about, and promotion of, equal access to ASFA products and services by all constituent groups.

ASFA should provide quality customer service to all constituents and ensure they are fairly represented on ASFA governing and advisory boards.

Students should be the principal beneficiaries of ASFA, although outreach should include all constituents, including faculty members, staff, alumni, visitors, members of the community, and others.

Student government and similar groups should have ongoing involvement with ASFA and their operations.

Student publications and electronic media should be used for communicating information about ASFA.

Relationships among campus administrative staff and employees/representatives of outside contractors should be cultivated and supervised carefully.

Relations with contract service providers should receive close and frequent attention and review. Assessment of these services should be collaborative and continuous.

ASFA should foster partnerships that engage and involve campus and contract service providers in all segments of the campus community.

ASFA should foster initiatives that ensure all service providers become stakeholders in advancing the mission of the institution.

Part 9. FINANCIAL RESOURCES

Auxiliary Services Functional Areas (ASFA) must have funding to accomplish the mission and goals.

In establishing and prioritizing funding resources, ASFA must conduct comprehensive analyses to determine

- unmet needs of the unit
- relevant expenditures
- external and internal resources
- impact on students and the institution

ASFA must use the budget as a planning tool to reflect commitment to the mission and goals of the programs and services and of the institution.

ASFA must administer funds in accordance with established institutional accounting procedures.

ASFA must demonstrate efficient and effective use and responsible stewardship of fiscal resources consistent with institutional protocols.

Financial reports must provide an accurate financial overview of the organization and provide clear, understandable, and timely data upon which personnel can plan and make informed decisions.

Procurement procedures must

- be consistent with institutional policies
- ensure that purchases comply with laws and codes for usability and access
- ensure that the institution receives value for the funds spent
- consider information available for comparing the ethical and environmental impact of products and services purchased

Funds to support the ASFA, insofar as it is possible and desirable, should be generated from pricing set at fair market rates.

For self-support programs

- when net operating income is achieved, ASFA should establish operating reserve funds as a buffer against future shortfalls and capital reserve funds for facilities renewal
- when lower than expected revenue in any one-year results in a deficit, ASFA should access reserve funds to offset the deficit

Financial planning and projections should include budget data for both current and long-term expenditures, including capital expenditures and deferred maintenance costs.

A program of asset management should be in place so that resources are adequate for meeting future repair and replacement requirements for key equipment and facilities.

ASFA should underwrite a fair proportion of overhead costs associated with shared services that support the entire campus.

The institution's budget commitment to ASFA should be sufficient to achieve its mission and to provide appropriate services, facilities, and programs deemed necessary to maintain standards and diversity of programs, goods, and services, commensurate with the organizational structure, aspirations, image, and the reputation of the institution.

ASFA should maintain adequate financial resources to ensure reasonable pricing of services, adequate programming, staffing, proper maintenance, and professional development.

ASFA may be expected to fund specific campus needs and contribute to the general fund.

Part 10. TECHNOLOGY

Auxiliary Services Functional Areas (ASFA) must have technology to support the achievement of their mission and goals. The technology and its use must comply with institutional policies and procedures and with relevant codes and laws.

ASFA should use current and appropriate technology to facilitate, improve, assess, and extend access to its programs, products, services, and facilities.

ASFA must use technologies to

- provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and other constituents in accessible formats
- provide an avenue for students and other constituents to communicate sensitive information in a secure format
- enhance the delivery of programs and services for all students

ASFA must

- back up data on a regular basis
- adhere to institutional policies regarding ethical and legal use of technology
- articulate policies and procedures for protecting the confidentiality and security of information

- implement a replacement plan and cycle for all technology with attention to sustainability
- incorporate accessibility features into technology-based programs and services

When providing student access to technology, ASFA must

- have policies on the use of technology that are clear, easy to understand, and available to all students
- provide information or referral to support services for those needing assistance in accessing or using technology
- provide instruction or training on how to use the technology
- inform students of implications of misuse of technologies

Part 11. FACILITIES AND EQUIPMENT

Auxiliary Services Functional Areas' (ASFA) facilities must be intentionally designed and located in suitable, accessible, and safe spaces that demonstrate universal design and support the program's mission and goals.

Facilities must be designed to engage various constituents and promote learning.

Personnel must have workspaces that are suitably located and accessible, well equipped, adequate in size, and designed to support their work and responsibilities.

The design of the facilities must guarantee the security and privacy of records and ensure the confidentiality of sensitive information and conversations. Personnel must be able to secure their work.

ASFA must incorporate sustainable practices in use of facilities and purchase of equipment. Facilities and equipment must be evaluated on an established cycle and be in compliance with codes, laws, and accepted practices for access, health, safety, and security.

When acquiring capital equipment, ASFA must take into account expenses related to regular maintenance and life cycle costs.

ASFA must periodically review and evaluate equipment and facilities to assess current and future needs.

Regularly scheduled cleaning of public areas must be provided, and grounds associated with ASFA facilities, which may include streets, paved walks, and parking lots, must be clean and well maintained.

Recycling, energy conservation, and sustainability efforts must be implemented throughout the ASFA and be compliant with institutional guidelines, government regulations, and contractual agreements.

ASFA facilities may include retail outlets; dining centers; vending operations; restaurants; residences; recreation and athletic facilities; event venues; office buildings; parking lots and transportation structures; manufacturing and production operations; maintenance shops; and shipping, receiving, and storage centers.

ASFA facilities should be sufficient to meet the needs of the program, consistent with agreements among institutional and community agencies and with students.

Size of facilities should comply with minimum effective service standards established by appropriate professional organizations for each functional area.

Facilities should be accessible, clean, reasonably priced, appropriately designed, well maintained, and have adequate safety and security features.

Facilities with multi-use capability, such as dining rooms and lounges, should be available for campus events and programs at times when they are not needed to support ASFA functions.

New construction projects should be responsive to the current and future needs of the campus community. Decisions about new construction should be based upon clearly defined needs and consistent with the mission of the institution, which may include adherence to institutional standards for sustainability.

Maintenance and renovation programs should be implemented in all operations and should include:

- preventive maintenance and audit procedures to ensure physical safety
- replacement reserves
- timely repair of equipment, vehicles, facilities, and building systems
- modifications to facilities and systems to keep them attractive, effective, efficient, and safe
- sustainable designs and practices whenever feasible

Systematically planned replacement cycles should exist for furnishings, mechanical and electrical systems, maintenance equipment, floor/wall/window treatments, and serving/point of service equipment.

The institution should be reimbursed for campus services, facilities, technology, and equipment that are used to support ASFA.

ASFA should monitor their impact on the community surrounding the campus and should work to maintain amicable relationships with affected non-university entities.

Part 12. ASSESSMENT

Auxiliary Services Functional Areas (ASFA) must develop assessment plans and processes.

Assessment plans must articulate an ongoing cycle of assessment activities.

ASFA must

- specify programmatic goals and intended outcomes
- identify student learning and development outcomes
- employ multiple measures and methods
- develop manageable processes for gathering, interpreting, and evaluating data
- document progress toward achievement of goals and outcomes
- interpret and use assessment results to demonstrate accountability

- report aggregated results to respondent groups and stakeholders
- use assessment results to inform planning and decision-making
- assess effectiveness of implemented changes
- provide evidence of improvement of programs and services

Cost analysis and market research must be conducted at least annually when setting fees for goods and services to be offered to students, faculty members, and staff.

ASFA must maintain accurate and current documentation on program data such as usage rates, peak times of usage, learning outcomes, sales and revenue, student satisfaction, and value contribution.

Both internal and external evaluations and assessments should be encouraged.

Periodic reports, statistically valid research, outside reviews, and other tools measuring student needs and opinions should be utilized.

ASFA should collaborate with institutional research units to generate data that could be useful, such as in projecting contributions to the local economy, increasing student enrollment, or stimulating research.

A representative cross-section of qualified people from campus communities should be involved in reviewing ASFA.

ASFA should generate and disseminate an annual report identifying overall goals, program data, changes in services provided, financial contributions, regular feedback from participants, and opportunities that contribute to the overall effectiveness and quality of the institution.

ASFA must employ ethical practices in the assessment process.

ASFA must have access to adequate fiscal, human, professional development, and technological resources to develop and implement assessment plans.

*General Standards revised in 2014;
ASFA content developed in 2007*