

CAS Self-Assessment Guide

STUDENT CONDUCT PROGRAMS
2015

Council for the Advancement of Standards in Higher Education. (2015). *CAS self-assessment guide for student conduct programs*. 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 Student Conduct Programs

STUDENT CONDUCT PROGRAMS

CAS Contextual Statement

Colleges' and universities' need to correct and discipline student behavior "is as old as higher education itself, dating back to the nascent University of Paris almost 800 years ago" (Dannells, 1988, p. 127). Student conduct has also been one of the most persistent, controversial, and contested areas in all of higher education (Dannells, 1997; Waryold & Lancaster, 2013).

The history and evolution of student discipline in American higher education, in many respects, mirrors the development of American colleges and universities (Smith, 1994). When America's first colleges were founded, there were no borders between an institution's charge to develop students' intellects and to supervise their moral and ethical growth (Rudolph, 1962/1990). Over the last century, the diminishing role of faculty in student life, the growth of the student affairs field, and the increasing scope of legal directives have transformed the ways institutions address and manage student misconduct on campus (Dannells, 1997; Waryold & Lancaster, 2013).

The origins of the student personnel movement in the late 1800s and early 1900s grew directly out of institutional needs to address student incivility as well as a renewed focus on holistic education (American Council on Education, 1937; Waryold & Lancaster, 2013). Court decisions like *Dixon v. Alabama State Board of Education* (1961), legislative enactments like the Family Educational Rights & Privacy Act (FERPA), and the numerous judicial decisions and government directives that followed have necessitated that all institutions, public and private, must utilize conduct policies practices that are substantively clear, procedurally sound, and fundamentally fair. While students at public institutions are afforded these protections through the Constitution's due process clause, private institutions are not required to abide by Constitutional mandates; even so, almost all private institutions have adopted similar protections to ensure their procedures are fair and to avoid treating students in an unlawful, arbitrary and capricious manner during the adjudication process (Lake, 2013; Smith, 2011; Waryold & Lancaster, 2013). As a result, institutions have increasingly relied on specialists to manage campus disciplinary processes.

Student conduct specialists began organizing and professionalizing their area in the early 1970s. The ACPA Commission for Student Conduct and Legal Issues began in 1973 and remains active today (ACPA, 2014). In 1987, the Association of Student Conduct Administration (ASCA, then called the Association of Student Judicial Affairs) was founded and now sponsors an annual conference (with over 1,000 attendees), holds annual week-long training institutes for conduct professionals of all levels, and has promulgated ethical principles and professional standards to guide the profession (ASCA, 1993; Waryold & Lancaster, 2013). ASCA became a member institution of CAS in 1990.

Today, student conduct programs on college campuses must balance three complex, interconnected goals, as reflected in the Preamble to the ASCA Constitution and Bylaws (ASCA, 1988/2012). Student conduct programs should be:

- Community-focused,
- Learning-centered, and
- Procedurally sound.

Although balancing these goals can be difficult and challenging, they can and must be integrated into student conduct practice (Gehring, 2001; Pavela & Pavela, 2012).

Community-focused. Student conduct programs must reflect the unique needs, characteristics, and values of their individual institutions and campus communities (King, 2009). As such, they must set forth clear standards for their particular community and also ensure protection for *all* students within that community. As Bennett, Gregory,

Loschiavo, and Waller (2014) advised, “students who may have been harmed, students who are accused of causing harm, and the rest of the student body” must all be “treated with care, concern, honor, and dignity” (p. 1). Conduct programs must also recognize that campus culture and environmental factors influence students’ attitudes and behavior -- both positively and negatively (Harper, Harris, & Mmeje, 2005; McCabe, Treviño, & Butterfield, 2001; Waryold & Lancaster, 2013). Finally, conduct officials are increasingly being asked to utilize their expertise to help their campus communities manage students who may pose threats to themselves or others through threat assessment and behavioral intervention teams (Dunkle, Silverstein, & Warner, 2008).

Learning-centered. Student conduct programs must also uphold the primacy of the educational mission of colleges and universities by ensuring that student learning and development are central (but not necessary the only) goals of the disciplinary process (Baldizian, 1998; Bennett et al., 2014; Dannells, 1997). Student conduct programs should, whenever feasible, seek to prioritize educational processes and outcomes for students while also ensuring the safety and integrity of the learning environment for all students. Despite these goals, research has shown that many students going through conduct processes learn little from their experience (Howell, 2005). The imperative, therefore, is to identify and utilize conduct practices and interventions that have a demonstrable effect on students’ knowledge, values, and behavior.

Procedurally sound. Student conduct programs must ensure that their policies and practices are procedurally sound. Although institutions must comply with legal and judicial authority (including procedural and substantive due process, legislative mandates, and regulatory directives), student conduct processes also have a moral and ethical duty to ensure their processes are inclusive, socially just, and multipartial (Holmes, Edwards, & DeBowes, 2009; Lopez-Phillips & Trageser, 2008). Student conduct programs should consider adopting a range of practices and resolution options that may be more socially just and learning-focused, including those incorporating dialogue, mediation, and restorative justice principles (Schrage & Thompson, 2009). Recent research demonstrates that sound conduct procedures (i.e., those that are perceived as fair and those utilizing restorative justice practices) produce more positive learning outcomes for students going through them (Karp & Sacks, 2014; King, 2012).

In pursuing these goals, student conduct programs must also navigate various external influences. Student disciplinary systems on college and university campuses have increasingly come under the scrutiny of campus stakeholders, government agencies, advocacy groups, and the press (Bartholet et al., 2014; Binkley, Wagner, Riepenhoff, & Gregory, 2014; Gehring, 1998; U.S. Department of Education, 2011, 2014). High profile instances of college misconduct and violence (including deadly episodes of hazing and alcohol abuse, criminal charges against student-athletes, and national focus of the prevalence of campus sexual assault) have highlighted the importance of student conduct within the institutional setting.

Student conduct practitioners in today’s environment must be knowledgeable about a number of federal mandates that have a direct impact on their work within an institution. Federal laws such as FERPA, the Drug Free Schools and Communities Act, the Jeanne Clery Disclosure of Campus Security and Campus Crime Statistics Act (originally known as the Student Right-to-Know Act and Campus Security Act of 1990), the Campus Sexual Violence Elimination Act of 2013, and recent amendments to the Violence Against Women Act (VAWA) all contain provisions specifically targeting conduct policies and practices. Directives regarding sexual misconduct and Title IX from the Department of Education’s Office for Civil Rights (2011, 2014), as well as the White House Task Force to Protect Students from Sexual Assault (2014), demonstrate that governmental scrutiny of campus safety is a current reality – one that does not appear to be diminishing in the future.

In addition to external influence at the governmental level, advocacy groups are also working to shape the status of modern student conduct administration. For example, compare the aspirations of two separate special interest groups that are especially critical of modern student conduct practice: The Clery Center for Security on Campus

(formerly, Security on Campus) and the Foundation for Individual Rights in Education (FIRE). While the Clery Center has sought to strengthen and enhance student conduct regulations and other campus safety protocols, FIRE believes that current conduct practices are too abusive and accuse institutions of trampling the Constitutional rights of students -- particularly those accused of infractions (Clery Center, 2012; FIRE, 2013).

Additional external factors impacting student conduct practice include state and national pressure on higher education institutions to demonstrate their effectiveness (Banta & Palomba, 2015) and increasing levels of parental involvement (Cullaty, 2011; de Carvalho, 2014). Current student conduct practitioners must also stay aware of trends within the profession, including the principles underlying threat assessment, behavioral intervention, restorative justice, and motivational interviewing.

Ultimately, these CAS Standards are presented to help student conduct programs achieve their primary goals while navigating external responsibilities. Through the use of the learning domains and dimensions, higher education professionals can ensure learning occurs while students participate in conduct processes. These Standards provide a framework for the development of well-functioning and exceptional conduct programs. Finally, the Standards give conduct professionals a roadmap for fulfilling their ethical and professional obligations as well as identifying competencies and skills needed to successfully implement their programs.

References, Readings, and Resources

- ACPA - College Student Educators International. (2014). *Commission for Student Conduct and Legal Issues history*. Retrieved from <http://www.acpa.nche.edu/commission-student-conduct-and-legal-issues-history>
- American Council on Education (1937). *The student personnel point of view: A report of a conference on the philosophy and development of student personnel work in colleges and universities*. Washington, DC: Author. Retrieved from <http://www2.bgsu.edu/sahp/pages/1937STUDENTPERSONNELnew.pdf>
- Association for Student Conduct Administration. (1993). *Ethical principles and standards of conduct*. College Station, TX: Author. Retrieved from <http://theasca.membershipsoftware.org/files/Governing%20Documents/Ethical%20Principles%20and%20Standards%20of%20Conduct.pdf>
- Association for Student Conduct Administration. (2012). *Bylaws*. College Station, TX: Author. Available from <http://www.theasca.org/documents> (Originally adopted 1988)
- Baldizan, E. M. (1998). Development, due process, and reduction: Student conduct in the 1990s. In D. L. Cooper & J. M. Lancaster (Eds.), *Beyond law and policy: Reaffirming the role of student affairs* (New Directions for Student Services, no. 82; pp. 29-37). San Francisco: Jossey-Bass. doi: 10.1002/ss.8203
- Banta, T. W., & Palomba, C. A. (2015). *Assessment essentials: Planning, implementing, and improving assessment in higher education*. San Francisco, CA: Jossey-Bass.
- Bartholet, E., Brewer, S., Clark, R., Dershowitz, A., Desan, C., Donahue, C., ... Wilkins, D. (2014, Oct. 15). Rethink Harvard's sexual harassment policy [Open letter]. *Boston Globe*. Retrieved from <http://www.bostonglobe.com/opinion/2014/10/14/rethink-harvard-sexual-harassment-policy/HFDDiZN7nU2UwuUuWMnqbM/story.html>
- Bennett, L., Gregory, D. M., Loschiavo, C., & Waller, J. (2014). *Student conduct administration & Title IX: Gold standard practices for resolution of allegations of sexual misconduct on college campuses* [White paper]. College Station, TX: Association for Student Conduct Administration. Retrieved from <http://www.theasca.org/Files/Publications/ASCA%202014%20Gold%20Standard%20Report.pdf>
- Binkley, C., Wagner, M., Riepenhoff, J. & Gregory, S. (2014, Nov. 23). College disciplinary boards impose slight penalties for serious crimes. *The Columbus Dispatch*. Retrieved from <http://www.dispatch.com/content/stories/local/2014/11/23/campus-injustice.html>
- Clery Center for Security on Campus. (2012). *Our mission*. Retrieved from <http://clerycenter.org/our-mission>
- Cullaty, B. (2011). The role of parental involvement in the autonomy development of tradition-age college students. *Journal of College Student Development*, 52(4), 425-439. doi:10.1353/csd.2011.0048

- Dannells, M. (1988). Discipline. In A. L. Rentz & G. L. Saddlemire (Eds.), *Student affairs function in higher education* (pp. 127-154). Springfield, IL: Charles C. Thomas.
- Dannells, M. (1997). *From discipline to development: Rethinking student conduct in higher education* (ASHE-ERIC Higher Education Report, Vol. 25, No. 2). Washington, DC: George Washington University Graduation School of Education and Human Development.
- de Carvalho, M. E. P. (2014). *Rethinking family-school relations: A critique of parental involvement in schooling*. New York, NY: Psychology Press.
- Dixon v. Alabama State Board of Education*, 294 F.2d 150 (5th Cir.), cert. denied, 368 U.S. 930 (1961).
- Dunkle, J. H., Silverstein, S. B., Warner, S. L. (2008). Managing violent and other troubling students: The role of threat assessment teams on campus. *Journal of College and University Law*, 34, 585-635. Retrieved from <http://heinonline.org/HOL/LandingPage?handle=hein.journals/jcolunly34&div=25&id=&page=>
- Foundation for Individual Rights in Education. (2013). *Mission*. Retrieved from <http://www.thefire.org/about-us/mission/>
- Gehring, D. D. (1998). The frog in the pot: External influence on higher education. In D. L. Cooper & J. M. Lancaster (Eds.), *Beyond law and policy: Reaffirming the role of student affairs* (New Directions for Student Services, No. 82; pp. 3-14). San Francisco, CA: Jossey-Bass. doi:10.1002/ss.8201
- Gehring, D. D. (2001). The objectives of student conduct and the process that's due: Are they compatible? *NASPA Journal*, 38(4), 466-481. doi:10.2202/1949-6605.1155
- Harper, S. R., Harris, F., III, & Mmeje, K. (2005). A theoretical model to explain the overrepresentation of college men among campus judicial offenders: Implications for campus administrators. *NASPA Journal*, 42(4), 565-588. doi:10.2202/1949-6605.1541
- Holmes, R. C. Edwards, K., & DeBowes, M. M. (2009). Why objectivity is not enough: The critical role of social justice in campus conduct and conflict work. In J. M. Schrage & N. G. Giacomini (Eds.), *Reframing campus conflict: Student conduct practice through a social justice lens* (pp. 50-64). Sterling, VA: Stylus.
- Howell, M. T. (2005). Students' perceived learning and anticipated future behaviors as a result of participation in the student judicial process. *Journal of College Student Development*, 46, 374-392. doi:10.1353/csd.2005.0035
- Karp, D. R. & Sacks, C. (2014). Student conduct, restorative justice, and student development: Findings from the STARR project: A student accountability and restorative research project. *Contemporary Justice Review*, 17(2), 154-172. doi:0282580.2014.915140
- King, R. H. (2012). Student conduct administration: How students perceive the educational value and procedural fairness of their disciplinary experiences. *Journal of College Student Development*, 53, 563-580. doi:10.1353/csd.2012.0058
- King, T. L. (2009). Endorsement. In J. M. Schrage & N. G. Giacomini (Eds.), *Reframing campus conflict: Student conduct practice through a social justice lens* (pp. xiii-xiv). Sterling, VA: Stylus.
- Lake, P. F. (2013). *The rights and responsibilities of the modern university: The rise of the facilitator university* (2nd ed.). Durham, NC: Carolina Academic Press.
- Lopez-Phillips, M. & Trageser, S. P. (2008). Development and diversity: A social justice model. In J. M. Lancaster & D. M. Waryold (Eds.), *Student conduct practice: The complete guide for student affairs professionals* (pp. 119-134). Sterling, VA: Stylus.
- McCabe, D. L., Treviño, L. K., & Butterfield, K. D. (2001). Cheating in academic institutions: A decade of research. *Ethics & Behavior*, 11(3), 219-232. doi:10.1207/S15327019EB1103_2
- Pavela, G. & Pavela, G. (2012). The ethical and educational imperative of due process. *Journal of College and University Law*, 38, 567-627. Retrieved from http://heinonline.org/HOL/Page?handle=hein.journals/jcolunly38&div=22&g_sent=1&collection=journals
- Rudolph, F. (1990). *The American college and university: A history*. Athens, GA: University of Georgia Press. (Original work published in 1962)
- Schrage, J. M. & Thompson, M. C. (2009). Providing a spectrum of resolution options. In J. M. Schrage & N. G. Giacomini (Eds.), *Reframing campus conflict: Student conduct practice through a social justice lens* (pp. 65-84). Sterling, VA: Stylus.
- Smith, D. B. (1994). Student discipline in American colleges and universities: A historical overview. *Educational Horizons*, 72(2), 78-85.
- Smith, P. (2011). Due process, fundamental fairness, and judicial deference: The illusory difference between state and private educational institution disciplinary legal requirements. *University of New Hampshire Law Review*, 9, 443-468. Retrieved from <http://law.unh.edu/assets/images/uploads/publications/unh-law-review-vol-09-no3-smith.pdf>
- U.S. Department of Education, Office for Civil Rights. (2011, Apr. 4). *Dear colleague letter: Sexual violence*. Washington, DC: Author. Retrieved from <http://www2.ed.gov/about/offices/list/ocr/letters/colleague-201104.html>

- U.S. Department of Education, Office for Civil Rights. (2014, Apr. 29). *Questions and answers on Title IX and sexual violence*. Washington, DC: Author. Retrieved from <http://www2.ed.gov/about/offices/list/ocr/docs/qa-201404-title-ix.pdf>
- Waryold, D. M., & Lancaster, J. M. (Eds.) (2013). *The state of student conduct: Current forces and future challenges: Revisited*. College Station, TX: Association for Student Conduct Administration.
- White House Task Force to Protect Students from Sexual Assault. (2014). *Not alone: The first report of the White House Task Force to Protect Students from Sexual Assault*. Washington, DC: The White House. Retrieved from http://www.whitehouse.gov/sites/default/files/docs/report_0.pdf

Contextual Statement Contributors

Current Edition:

Marc H. Shook, LaGrange College, ASCA
Jim Neumeister, Loyola University Chicago, ASCA

Previous Editions:

John Wesley Lowery, Indiana University of Pennsylvania, ASCA
John Zacker, University of Maryland, ASCA
Marc H. Shook, LaGrange College, ASCA

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
<input type="checkbox"/> 5.1 Ethical Standards <ul style="list-style-type: none"> 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. <p><i>Rationale:</i></p>					
<input type="checkbox"/> 5.2 Statement of Ethical Standards <ul style="list-style-type: none"> 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.

STUDENT CONDUCT PROGRAMS

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

- Student Conduct Programs (SCP) promote community standards, safety, and student learning through educational outreach and processes that aid in the resolution of violations of institutional policies, rules, or regulations.
- SCP’s policies, practices, and systems are: (a) community-focused, (b) learning centered, and (c) procedurally sound.
- The goals of SCP address the institution’s need to
 - develop, disseminate, interpret, and enforce institutional policies and procedures regarding student as well as group/organizational behavioral expectations.
 - protect the rights of students who have been victims of misconduct as well as those accused of misconduct.
 - ensure that all students, faculty, staff, or community members involved in the administration of the student conduct program are sufficiently prepared and trained.
 - respond to student behavioral concerns in an unbiased, fair, and reasonable manner.
 - facilitate the process of individuals and organizations taking responsibility for their assigned roles in the conduct system.
 - provide learning experiences for students whose conduct may not be consistent with institutional expectations as well as for those students who participate in the operations of the student conduct system.
 - initiate and encourage outreach activities that serve to educate the community about the student conduct program and individual responsibilities within the program.
 - balance the needs and interests of individuals with the needs and interests of the institution, the community, and others who may have an interest in the matter or outcome.

Rationale:

- 1.2 Mission Implementation and Review
- SCP 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 SCP 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
- Student Conduct Programs (SCP) **contributes to students' formal education** (the curriculum and co-curriculum), learning, and development.
 - SCP **contributes to students' progression** toward and timely completion of educational goals and preparation for their careers, citizenship, and lives.
 - SCP 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
- SCP engages in outcomes assessment, documents evidence of its impact, and articulates the role it plays in student learning and success.
 - SCP uses evidence to create strategies for improvement of programs.

Rationale:



2.3 Program Design

- SCP bases its work on intentional student learning and development outcomes.
- SCP reflects developmental and demographic profiles of the student population and responds to needs of individuals, populations with distinct needs, and relevant constituencies.
- SCP is delivered using multiple formats, strategies, and contexts and is designed to provide universal access.

Rationale:



2.4 Policies, Processes, and Procedures

- SCP establishes, manages, promotes, and regularly reviews policies and practices that govern the student conduct program. Such policies and practices are provided in accessible formats and made available in both printed and web-based forums.
- All processes, procedures, and practices are fair, equitable, and procedurally sound, and administered in compliance with appropriate institutional, regulatory, and legal standards.
- Policies and practices are reviewed on an annual basis to determine if recent law or policy changes necessitate any update or revision to the statement.
- Statements of processes, procedures, and practices include a clear statement of the institution's behavioral expectations and standards for students, the manner in which an SCP addresses and resolves incidents of student misconduct, the evidentiary standard that will be used in the resolution of the matter (which should be preponderance of evidence), a clear description of possible sanctions that may be imposed, and appeal procedures (if provided).
- Statements of processes, procedures, and practices include the identity of each office, department, or program that has responsibility for addressing student misconduct, specifically including alleged instances of academic and non-academic misconduct.
- Statements of processes, procedures, and practices include a description of the authority, philosophy, scope, and core components of the student conduct program; procedures for the review and resolution of allegations of student misconduct, including identifying multiple pathways or alternative resolution processes that may be used or requested by the student; procedures for interim, summary, or emergency actions; and policies governing the maintenance, confidentiality, and disclosure of records pertaining to alleged instances of student misconduct.
- If there are separate or distinct resolution processes, those are made available to all students.
- All statements of SCP policies and practices are disseminated to and easily accessed by all members of the institutional community.

Rationale:



2.5 Sexual Violence

- Statements of processes, procedures, and practices include whether acts of sexual violence, relationship violence, and stalking are covered under the general resolution processes or in a separate institutional policy
- Per government regulations, the preponderance of evidence standard is used to determine the resolution of acts of sexual violence, relationship violence, and stalking.

Rationale:

2.6 Sanctioning and Case Management

- The outcomes and/or sanctions imposed as a result of institutional action are educational, developmental, not solely punitive, appropriately and equitably assigned, address the overall safety needs of those involved in the process as well as the general campus community, and attend to any impacts and harms of the behavior on the community or others.
- SCP provides on-going case management, including the enforcement of outcomes and sanctions, assessing the developmental processes that have been affected, and ensuring that students are directed to appropriate services for support and assistance.
- When using an adjudication/appeal board, initial and in-service training of all members is provided. This training includes all institutional officials or agents who serve on the adjudication/appeal board and individuals who serve in other positions related to the operation of the SCP.

Rationale:

2.7 Collaboration

- SCP collaborates with others across the institution in ways that benefit students.

Rationale:

Overview Questions:

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

Part 3: ORGANIZATION AND LEADERSHIP

Suggested Evidence and Documentation:

1. Program goals and outcomes
2. Operating policies, procedures and/or handbook
3. Personnel and student handbook(s), policies and procedures, and organizational chart(s)
4. Personnel position descriptions, expectations, and performance review templates
5. Periodic reports, contracts, and personnel memos
6. Annual reports by program leaders
7. Program leader resumes, including additional professional involvement
8. Strategic and operating plans
9. Needs assessment of program constituents
10. 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

- Student Conduct Programs (SCP) has clearly stated and current goals and outcomes, policies and procedures, descriptions of personnel responsibilities and expectations, and clear organizational charts.

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

- SCP 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.
- SCP leaders facilitate continuous development, implementation, and assessment of effectiveness and goal attainment congruent with institutional mission and strategic plans.
- SCP leaders promote environments that provide meaningful opportunities for student learning, development, and engagement.
- SCP leaders develop, adapt, and improve programs and services for populations served and institutional priorities.
- SCP leaders include diverse perspectives to inform decision making.

Rationale:

3.4 Management

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

Rationale:

3.5 Supervision

- SCP leaders manage human resource processes including professional development, supervision, evaluation, recognition, and reward.
- SCP leaders empower personnel to become effective leaders and to contribute to the effectiveness and success of the unit.
- SCP leaders encourage and support collaboration across the institution and scholarly contributions to the profession.
- SCP leaders identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement.

Rationale:

3.6 Program Advancement

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

Rationale:

Overview Questions:

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

- Student Conduct Programs (SCP) is staffed adequately to accomplish mission and goals.
- A qualified member of the institution is designated as the person responsible for student conduct programs.

- SCP has access to technical and support personnel adequate to accomplish the mission.

Rationale:

4.2 Recruitment, Supervision, and Professional Development

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

Rationale:

4.3 Employment Practices

- Administrators of SCP 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.

Rationale:

- 4.6 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:

- 4.7 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 SCP 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 SCP philosophy toward engaging graduate interns and assistants, and student employees and volunteers in SCP 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

- Student Conduct Programs (SCP) reviews applicable professional ethical standards and adopts or develops and implements appropriate statements of ethical practice.
- SCP 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 SCP 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

- SCP personnel employ ethical decision making in the performance of their duties.
- SCP personnel inform users of programs and services of ethical obligations and limitations emanating from codes and laws or from licensure requirements.
- SCP personnel recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation.
- SCP 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:

Overview Questions:

1. What is SCP'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 SCP?

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
- Student Conduct Programs (SCP) 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.
 - SCP has access to legal advice needed for personnel to carry out their assigned responsibilities.
 - SCP informs personnel, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.
 - SCP informs personnel about professional liability insurance options and refers them to external sources if the institution does not provide coverage.

Rationale:

- 6.2 Policies and Procedures
- SCP has written policies and procedures on operations, transactions, or tasks that have legal implications.
 - SCP regularly reviews policies that are informed by best practices, available evidence, and policy issues in higher education.
 - SCP has procedures, systems and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations and disseminates 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
- SCP 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
- SCP purchases or obtains permission to use copyrighted materials and instruments and includes appropriate citations on materials and instruments.

Rationale:

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

Rationale:

Overview Questions:

1. What are the crucial legal, policy and, governance issues faced by SCP, 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
- Student Conduct Programs (SCP) creates and maintains educational work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.
 - SCP 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
- SCP 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.
 - SCP responds to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources.
 - SCP 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

- SCP advocates for sensitivity to multicultural and social justice concerns by the institution and its personnel.
- SCP 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.
- SCP addresses the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices.
- SCP provides personnel with diversity, equity, and access training and holds personnel accountable for applying the training to their work.

Rationale:

Overview Questions:

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

- Student Conduct Programs (SCP) 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.
- SCP 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.

- SCP 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

- SCP 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:

Overview Questions:

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

- Student Conduct Programs (SCP) has funding to accomplish its mission and goals.

Rationale:

9.2 Financial Planning and Implementation

- SCP conducts a comprehensive analysis to determine unmet needs, relevant expenditures, external and internal resources, and impact on students and the institution.

- SCP 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

- SCP administers funds in accordance with established institutional accounting procedures.
- SCP 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 SCP, and why is this the most appropriate approach?
2. How does SCP ensure fiscal responsibility, responsible stewardship, and cost-effectiveness?
3. If applicable, how does SCP 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

- Student Conduct Programs (SCP) 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

- SCP uses current technology to provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and other constituents in accessible formats.
- SCP 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
- SCP backs up data on a regular basis.
 - SCP 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.
 - SCP 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
- SCP has policies on student use of technology that are clear, easy to understand, and available to all students.
 - SCP 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 SCP ensure that relevant technology is available for all who are served by the program?
4. How does SCP use technology to enhance the delivery of programs, resources, services and overall operations?
5. How does SCP 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
- Student Conduct Programs (SCP) 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.
- SCP has access to facilities of sufficient size and arrangement to ensure privacy of records, meetings, and interviews.
- Personnel are able to secure their work.

Rationale:

11.3 Equipment Acquisition and Facilities Use

- SCP 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, SCP takes into account expenses related to regular maintenance and life-cycle costs.

Rationale:

Overview Questions:

1. How are facilities inventoried and maintained?
2. How does SCP integrate sustainable practices?
3. How does SCP ensure that facilities, workspaces, and equipment are considered in decision-making?
4. How is SCP 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

- Student Conduct Programs (SCP) develops an ongoing cycle of assessment plans, processes, and activities.
- SCP identifies programmatic goals and intended program outcomes as well as outcomes for student learning and development.

- SCP documents progress toward achievement of goals and outcomes.
- SCP employs multiple measures, methods, and manageable processes for gathering, interpreting, and evaluating data.
- SCP employs ethical practices in the assessment process.
- SCP has access to adequate fiscal, human, professional development, and technological resources to develop and implement assessment plans.

Rationale:

12.2 Reporting and Implementing Results

- SCP interprets and uses assessment results to demonstrate accountability and inform planning and decision-making.
- SCP reports aggregated results to respondent groups and stakeholders.
- SCP 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 SCP?
2. What are priorities of the assessment program, and how are those developed?
3. How does SCP 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 SCP achievement of mission and goals?
5. How effective is the assessment strategy in demonstrating goal achievement and student learning?
6. How does SCP use assessment results to inform program improvement?
7. How does SCP share assessment results with relevant constituencies?
8. How does SCP support ongoing development of assessment competencies for personnel?

General Standards revised in 2014;

SCP content (formerly Judicial Programs and Services) developed/revised in 1986, 1996, 2005, and 2015.

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

--

Work Form E – Action Plan

INSTRUCTIONS:

Using this work form, the unit staff will turn the summary of areas to be addressed identified by the review team (Work Form D) into a specific plan of action. After reviewing the information provided in Work Forms B and C, unit staff teams should describe practices in need of improvement, the actions to be taken, the individual responsible, and the timeline for achieving compliance with the standard.

Current Practice Description	Corrective Action Needed	Task Assigned To	Timeline/ Due Dates

STUDENT CONDUCT PROGRAMS

CAS Standards and Guidelines

Part 1. MISSION

Student Conduct Programs (SCP) promote community standards, safety, and student learning through educational outreach and processes that aid in the resolution of violations of institutional policies, rules, **or regulations. SCP's policies, practices, and systems** must be: (a) community-focused, (b) learning centered, and (c) procedurally sound.

The standards set forth below are intended to cover individual and organizational disciplinary systems/procedures as well as the resolution of academic and non-academic instances of misconduct.

SCP 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.

The goals of SCP must address the institution's need to

- develop, disseminate, interpret, and enforce institutional policies and procedures regarding student as well as group/organizational behavioral expectations
- protect the rights of students who have been victims of misconduct as well as those accused of misconduct
- ensure that all students, faculty, staff, or community members involved in the administration of the student conduct program are sufficiently prepared and trained
- respond to student behavioral concerns in an unbiased, fair, and reasonable manner
- facilitate the process of individuals and organizations taking responsibility for their assigned roles in the conduct system
- provide learning experiences for students whose conduct may not be consistent with institutional expectations as well as for those students who participate in the operations of the student conduct system
- initiate and encourage outreach activities that serve to educate the community about the student conduct program and individual responsibilities within the program
- balance the needs and interests of individuals with the needs and interests of the institution, the community, and others who may have an interest in the matter or outcome

Part 2. PROGRAM

To achieve their mission, Student Conduct Programs (SCP) 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, SCP 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.]

SCP 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

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

SCP must establish, manage, promote, and regularly review policies and practices that govern the student conduct program. Such policies and practices must be provided in accessible formats and made available in both printed and web-based forums.

All processes, procedures, and practices governed by this statement must be fair, equitable, and procedurally sound, and must be administered in compliance with appropriate institutional, regulatory, and legal standards. Likewise, policies and practices must be reviewed on an annual basis to determine if recent law or policy changes necessitate any update or revision to the statement.

Procedures and processes provide for substantive and procedural due process at public institutions of higher education and fundamental fairness at private institutions.

A single institution may have multiple statements and procedures based on the overall structure of the student conduct system. Multiple statements should exist if different offices, departments, or programs take individual responsibility for varying components of the overall program, such as academic versus non-academic misconduct or individual versus organizational misconduct.

Statements of processes, procedures, and practices must include

- **a clear statement of the institution's behavioral expectations and standards for students**
- the identity of each office, department, or program that has responsibility for addressing student misconduct, specifically including alleged instances of academic and non-academic misconduct
- a description of the authority, philosophy, scope, and core components of the student conduct program
- the manner in which an SCP addresses and resolves incidents of student misconduct
- whether acts of sexual violence, relationship violence, and stalking are covered under the general resolution processes or in a separate institutional policy
- procedures for the review and resolution of allegations of student misconduct, including identifying multiple pathways or alternative resolution processes that may be used or requested by the student
- a clear description of possible sanctions that may be imposed
- appeal procedures (if provided)
- procedures for interim, summary, or emergency actions

- policies governing the maintenance, confidentiality, and disclosure of records pertaining to alleged instances of student misconduct
- the evidentiary standard that will be used in the resolution of the matter should be preponderance of evidence
- if there are separate or distinct resolution processes then those must be made available to all students

Examples of distinct processes within a campus community include: acts of individual misconduct, group/organizational misconduct, academic misconduct, non-academic misconduct, and misconduct occurring on-campus, in campus residence halls, or off/away from campus.

Government regulations dictate that the preponderance of evidence standard must be used to determine the resolution of acts of sexual violence, relationship violence and stalking.

This statement should include:

- the scope of authority for each office, department, or program involved in the administration of the student conduct program, including which policies and regulations are enforced by each
- the scope of authority of each office, department, or program to address misconduct in the context of where the misconduct occurs or outside of times when a student is actively enrolled and/or present at the institution, including education study abroad, internships, exchange programs, during times classes are not in session, or during a period that student is not actively enrolled
- a clear description of the relationship between each student conduct program and law enforcement agencies (both on- and off-campus), including guidelines as to when SCPs will contact law enforcement authorities
- information regarding the impact, if any, decisions by external bodies (such as a criminal court) may influence the outcome of a student conduct program decision
- any role faculty, staff, and students may play in the adjudication of disciplinary infractions
- the role that restorative justice will play in the resolution (if any)
- the rights of the students to have assistance in navigating the student conduct process both before, during, and after the allegation of misconduct is made as well as a statement on the role that advisors or legal counsel may play in the process
- how the SCP will go about maintaining and destroying documents and records pertaining to an allegation of misconduct

All statements of SCP policies and practices must be disseminated to and be easily accessed by all members of the institutional community.

Dissemination methods should include electronic media, institutional catalog, student handbook, admission/registration materials, orientation programming, and first-year experience courses. Methods should be accessible to all students.

Governmental and state regulations (in the U.S.) may dictate that the institution also train the institutional community on some aspects of the statement, such as reporting instances of sexual harassment or sexual violence.

The outcomes and/or sanctions imposed as a result of institutional action must be educational and developmental and not solely punitive, appropriately and equitably assigned, address the overall safety needs of those involved in the process as well as the general campus community, and attend to any impacts and harms of the behavior on the community or others.

SCP must provide on-going case management, including the enforcement of outcomes and sanctions, assessing the developmental processes that have been affected, and ensuring that students are directed to appropriate services for support and assistance.

Use of Adjudication/Appeals Boards

Although under no legal or regulatory requirement to do so, a number of institutions use adjudication/appeal boards (also often known as hearing boards or panels) to resolve allegations of student misconduct. These panels, typically consisting of students, faculty, and staff can provide educational and developmental benefits for both the accused student and the individuals serving on the board/panel.

Roles and functions of adjudication/appeal boards may include

- reviewing referrals and concerns
- interpreting misconduct allegations and identifying if any specific policies, rules, or regulations were likely violated
- conducting preliminary meetings and gathering information pertinent to a formal allegation of misconduct
- advising students and other interested parties on their rights and responsibilities
- engaging in substantive discussions with students about relevant ethical issues
- scheduling, coordinating, and conducting resolution proceedings
- reviewing decisions and outcomes
- maintaining accurate written records of the entire proceeding
- referring information to other offices, parties, or student conduct authorities when applicable
- following up on sanctions to ensure that they have been implemented
- following up with students and other interested parties to ensure awareness of available support services
- establishing and implementing a procedure for maintenance and disclosure of conduct-related records
- assessing student conduct procedures, policies, and outcomes
- participating on governance-related committees associated with student conduct, except when a conflict of interest will result
- conducting education and outreach efforts of the SCP

When using an adjudication/appeal board, initial and in-service training of all members must be provided. This training must include all institutional officials or agents who serve on the adjudication/appeal board and individuals who serve in other positions related to the operation of the SCP.

In order for adjudication/appeal boards to fulfill their roles and functions, initial training should include

- an overview of all conduct policies and procedures
- an explanation of the operation of the conduct processes at all levels including their scope of authority

- an overview of the institution's philosophy on student conduct and the adjudication/appeal board's role in the process
- roles and functions of all student conduct authorities/bodies and their members
- review of individual and institutional rights and responsibilities, including institutional and legal requirements
- information on weighing of evidence, appropriate questioning, determining credibility and standard of proof as required topics
- an explanation of outcomes and sanctions
- an explanation of pertinent ethics, including confidentiality of student conduct records and addressing bias as well as conflict of interest in the student conduct process
- a description of available personal counseling programs and referral sources
- an outline of conditions that may involve interactions with external enforcement officials, attorneys, witnesses, parents or family members, and the media
- an overview of development and interpersonal issues likely to arise among college students

Based on the particular scope of the adjudication/appeal board, some specialized training may be required or needed to assist the board fulfill their obligations on campus; topics could include sexual violence, alcohol/drug issues, and hazing.

In-service training should include participation in relevant and on-going workshops, seminars, and conferences. A library containing current resources about the student conduct program should be made available.

Part 3. ORGANIZATION AND LEADERSHIP

To achieve program and student learning and development outcomes, Student Conduct Programs (SCP) must be purposefully structured for effectiveness. SCP 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 the SCP 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

Part 4. HUMAN RESOURCES

Student Conduct Programs (SCP) must be staffed adequately by individuals qualified to accomplish mission and goals.

Staffing models may be influenced by Governmental mandates.

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

Within institutional guidelines, SCP 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 SCP 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 SCP 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.

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

SCP 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

SCP 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 SCP 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.

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

PROFESSIONAL PERSONNEL

SCP 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.

A qualified member of the institution must be designated as the person responsible for student conduct programs.

Multiple people may be responsible at an institution that uses different offices for the resolution of individual versus group misconduct or academic versus non-academic misconduct.

The designee and any other professional staff member in the student conduct programs should, at a minimum, possess the following

- specialized training in student learning and development; this training could be achieved through a formal academic program or through professional development activities once in the field
- a clear understanding of the institutional and legal/regulatory requirements governing the student conduct process
- knowledge sufficient to confer with students, community members, and other parties involved in student conduct proceedings, including attorneys, as well as other aspects of the student conduct program
- an interest in and commitment to the welfare and development of students as well as the greater community
- demonstrated skills in working with decision-making processes, conflict management, motivational interviewing, as well as alternative dispute resolution practices
- the ability to communicate and interact with others regardless 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
- understanding of the requirements relative to privacy/confidentiality and security of student conduct records
- the ability to create an atmosphere where students and other interested or involved parties feel free to ask questions and obtain assistance
- awareness of trends in facilitating best practices in conduct such as behavioral intervention, restorative justice, and motivational interviewing

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.

Student members of peer review and adjudication boards should be representative of the institution's student body as a whole, reflecting the diversity of the community.

Undergraduate students who participate on peer review boards or who assist the SCP may be awarded academic credit based on approval from the institution and appropriate supervision from a trained member of the professional staff. Clear objectives and assignments should be created to ensure that a student's grade for this participation is in no way influenced by decision-making on a particular student conduct matter.

Part 5. ETHICS

Student Conduct Programs (SCP) 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 SCP 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

SCP 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

Part 6. LAW, POLICY, AND GOVERNANCE

Student Conduct Programs (SCP) 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.

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

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

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

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

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

Institutions should review annually the rules and policies pertaining to student conduct; a crucial aspect of this review is determining of new governmental or state regulations (in the U.S.) have occurred since the last review that would dictate a change in current rules or policies.

SCP 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.

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

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

SCP staff should remain informed and provide training on all governmental mandates impacting the practice of student conduct.

In the U.S., these include, but are not limited to, Family Educational Rights and Privacy Act (FERPA), the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Campus Security Act) and newly revised regulations (2014), Title IX of the Education Amendments of 1972 (Title IX) plus sub-regulatory guidance issues in 2011 and 2014, the Violence Against Women Act (VAWA) Reauthorization and, specifically, Section 304 which deals with campus sexual assault and related issues and has amended the Clery Act, the U.S. Department of Education Office for Civil Rights, and The Department of Justice Office of Violence Against Women.

SCP staff in the United States should remain informed and provide training on all state mandates impacting the practice of student conduct. Examples of state laws include those specific to firearms and drug possession.

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, Student Conduct Programs (SCP) must create and maintain educational and work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.

SCP 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.

SCP 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

Part 8. INTERNAL AND EXTERNAL RELATIONS

Student Conduct Programs (SCP) 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.

SCP 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

Representatives of the student conduct system should meet regularly with pertinent constituencies (e.g., student government, student development offices, staff, faculty members, academic administrators, Title IX coordinator(s), public safety, legal counsel, local police, district attorneys, service providers, Multicultural Student Programs, Women and Gender Programs, LGBT centers) to exchange information concerning their respective operations and to identify ways to work together to prevent behavior problems as well as correct existing ones. Such collaborative effort might include educational programs.

Part 9. FINANCIAL RESOURCES

Student Conduct Programs (SCP) must have funding to accomplish the mission and goals.

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

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

SCP 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.

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

SCP 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

Part 10. TECHNOLOGY

Student Conduct Programs (SCP) 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.

SCP 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

SCP 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, SCP 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

Student Conduct Programs' (SCP) 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.

SCP 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, SCP must take into account expenses related to regular maintenance and life cycle costs.

SCP must have access to facilities of sufficient size and arrangement to ensure privacy of records, meetings, and interviews.

The facilities should include a private office where individual consultations and conferences with those involved in conduct actions may be held, a meeting room for small groups, a library or resource area, and a secure location for student conduct records. The facilities should also be designated to promote the personal safety of the individuals involved in the SCP (e.g., multiple methods of egress, panic buttons).

Part 12. ASSESSMENT

Student Conduct Programs (SCP) must develop assessment plans and processes.

Assessment plans must articulate an ongoing cycle of assessment activities.

SCP 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

SCP must employ ethical practices in the assessment process.

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

Evaluation of SCP should include

- periodic performance evaluations of peer review boards in use
- on-going assessment and evaluation of training programs and publications
- periodic review of applicable state and governmental regulations and laws to ensure compliance

Assessment and evaluation activities should include

- review of student conduct authorities' adherence to the institution's guidelines
- general impressions of the student conduct system according to students, faculty members, staff members, and the general community
- developmental and learning outcomes for students and members of peer review boards (if any are in existence at the institution)
- annual trends in staff caseload, rates of recidivism, types of offenses, and efficacy of sanctions
- effects of programming designed to prevent behavioral problems
- effectiveness of special population peer review boards (e.g., sexual violence, student organization, residence hall boards)

General Standards revised in 2014;

SCP content (formerly Judicial Programs and Services) developed/revised in 1986, 1996, 2005, and 2015.