

# CAS Self-Assessment Guide

---

REGISTRAR PROGRAMS AND SERVICES  
2015

---

Council for the Advancement of Standards in Higher Education. (2015). *CAS self-assessment guide for registrar programs and services*. 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 Registrar Programs and Services

---

## REGISTRAR PROGRAMS AND SERVICES

### CAS Contextual Statement

Registrars, at least in function, were the first administrative positions created after institutional presidents. The position dates back to the end of the 12<sup>th</sup> century in Europe, and the title “registrar” first appeared at Oxford University in 1446.

Registrars were the original, all-purpose campus administrators. The role initially developed from the faculty, with a primary function of being an administrative officer supporting the academic functions of the institution. Multiple functions, including admitting students, collecting tuition, keeping records of faculty meetings, and maintaining student records, were included in the job responsibilities. The registrar has always been somewhat of a generalist—and still is today, even if the role is not quite as diverse as it was a few hundred years ago.

Organizationally, the Registrar’s Office is most often found in either Academic Affairs or Student Affairs. Because the position evolved out of the faculty, it was and still is integrated with academic issues. There has been an ebb and flow of the Registrar’s Office between Academic Affairs and Student Affairs, depending upon where other academic support services, such as financial aid and admission, have been located.

The Office of the Registrar supports the academic mission of institutions through providing services (either in person or virtually) such as course set up and subsequent registration opportunity, classroom assignment, establishment and enforcement of educational policy, academic record creation and maintenance, institutional compliance with state and federal regulations, records privacy education and regulation, grade processing, transfer credit evaluation, transcripts and certification of enrollment, degree progress monitoring, data management and reporting (i.e., graduation rates, degree progress data, course demand, predictive analytics), degree clearance and diploma preparation, and graduation ceremonies. The exact set of responsibilities within the Office of the Registrar varies widely by institutional type, size, and reporting structure.

Registrars across the United States face a broad array of challenges, including the continued importance of advancing institutional diversity and accommodating the needs of students whose diverse identities and backgrounds entail historical barriers to educational opportunities. As pressure to expand access to higher education leads to federal initiatives such as the expansion of community college access, registrars will have to respond to the increase in demands for services and support. Furthermore, the competing agendas of state and federal governments have led to increasing uncertainty vis-à-vis the regulations and mandates to which registrars must adhere.

One current challenge for registrars lies in the treatment of undocumented immigrants’ applications; regulations vary from state to state, as does the impact on access to higher education for students of color. While registrars do not set policy or lobby state legislatures, they are responsible for maintaining applicants and students’ records and may provide support for applicants who are unfamiliar with their own rights and responsibilities under the law. Registrars serving undocumented students are challenged to inform themselves about the specific needs and experiences of undocumented students, ensure their staff are culturally competent to understand the needs of this population, and keep informed of changes in state and federal regulations governing the treatment of undocumented applicants and matriculated students (uLEAD, 2015). Under the Obama Administration, the Deferred Action for Childhood Arrivals policy (DACA) is an example of the challenge of the interaction and enforcement of state and federal laws (USCIS, 2014). Whereas the federal government pursued a more inclusive treatment of DACA students, state governors and legislatures reacted by reaffirming existing policies that contrasted with the federal

order (Aguilar, 2012; Schwartz, 2012). In these examples, and others related to issues like name change policies for transgender students, the role of the registrar can be crucial in the relationship of students to the institution.

As a service provider, registrars' offices face the trends and challenges that all of higher education is currently experiencing. Quickly evolving technologies require the office to be mindful of new and improved ways of doing business; however, being nimble is a challenge because competing campus projects continually stretch information technology resources. Technology is not a panacea, and as budgets shrink, technology can only replace a portion of the functions that people used to perform. State and federal calls for accountability and outcomes-based assessment land squarely in registrars' offices as these offices have significant responsibility for reporting relevant information. Students increasingly demand integrated services, so the office must work closely with areas that it may not have in the past. Beyond the integration of services, registrars are challenged to support online and distance learning, while navigating the rise-and-fall of technology fads like MOOCs (Jordan, 2014) and the technological innovations they spur (Siemens, 2012).

Pressure to address the cost-effectiveness of higher education has led to more than just the MOOC model. Hope (2015) identified emerging "competency-based" programs that are designed to increase student learning while simultaneously reducing cost. Competency-based models leverage technology to support a model of education that prioritizes students' demonstration of mastery of the content over credit hours earned or time spent in instruction (Competency Based Education Network, 2015; U.S. Department of Education, 2015). Registrars will be faced with determining how to accommodate such programs, as well as addressing the potential challenges posed by them. The registrar's office has typically been associated only with transcripts and related record-keeping, but the function of the registrar today is more integral to the institution; the standards that follow reflect this broad, important role.

#### References, Readings, and Resources

- Aguilar, J. (2012, August 20). Perry: "Deferred Action" doesn't change state policies. *Texas Tribune*, Retrieved from <http://www.texastribune.org/2012/08/20/perrydeferred-action-does-not-change-state-policies/>.
- American Association of Registrars and Admissions Officers (AACRAO): [www.aacrao.org](http://www.aacrao.org)
- Competency Based Education Network (2015). *Competency-based education*. Retrieved from <http://www.cbenetwork.org/competency-based-education/>.
- Fisher v. University of Texas at Austin, 570 U.S. (2013).
- Hope, J. (2015). Be ready for the challenges of competency-based programs. *The Successful Registrar*, 15, 5-8.
- Jordan, K. (2014). Initial trends in enrolment and completion of Massive Open Online Courses. *The International Review of Research in Open and Distance Learning*, 15(1), 133-159.
- Kaplin, W. E., & Lee, B. A. (2006). *The law of higher education* (4th ed., Vol. 1-2). San Francisco, CA: Jossey-Bass.
- Lauren, B. (2006). *The registrar's guide: Evolving best practices in records and registration*. Washington, DC: American Association of Collegiate Registrars and Admissions Officers.
- Pace, H. L. (2011). The evolving office of the registrar. *College and University*, 86(3), 3-7.
- Rooker, L. (Ed.), Falkner, T. M., Hicks, D. J., Myers, B. A., & Shirley, S. 2010 *FERPA Guide*, American Association of Collegiate Registrars and Admissions Officers.
- Schwartz, D. (2012, August 15). Jan Brewer signs executive order denying state benefits to children of undocumented immigrants. *Huffington Post*. Retrieved from [http://www.huffingtonpost.com/2012/08/15/jan-brewer-executive-order\\_n\\_1785482.html](http://www.huffingtonpost.com/2012/08/15/jan-brewer-executive-order_n_1785482.html).
- Siemens, G. (2012). MOOCs are really a platform. Elearnspace blog. <http://www.elearnspace.org/blog/2012/07/25/moocs-are-really-a-platform/>
- uLEAD – National Forum on Higher Education for the Public Good. (2015). *Resources*. Retrieved from <http://uleadnet.org/content/overview>
- U.S. Citizenship & Immigration Services (USCIS). (2014). *Deferred Action for Childhood Arrivals Process - Frequently Asked Questions*. Retrieved from <http://www.uscis.gov/humanitarian/consideration-deferred-action-childhood-arrivals-process/frequently-asked-questions#what%20is%20DACA>.

U.S. Department of Education. (2015). *Competency-based learning or personalized learning*. Retrieved from <http://www.ed.gov/oii-news/competency-based-learning-or-personalized-learning>.

Contextual Statement Contributors

Current Edition

Andrew M. Wells, University of Georgia

Previous Editions:

Tina Falkner, University of Minnesota

Brad Myers, The Ohio State University

# 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.

<b>Part 5. ETHICS</b>					
<b>Suggested Evidence and Documentation:</b>					
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					
<b>Criterion Measures:</b>					
<b>DNA</b>	<b>IE</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds
<input type="checkbox"/> <b>5.1 Ethical Standards</b> <ul style="list-style-type: none"> <li>Programs and services review applicable professional ethical standards and adopt or develop and implement appropriate statements of ethical practice.</li> <li>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.</li> </ul> <p><i>Rationale:</i></p>					
<input type="checkbox"/> <b>5.2 Statement of Ethical Standards</b> <ul style="list-style-type: none"> <li>Statements of ethical standards specify that programs and services personnel respect privacy and maintain confidentiality in communications and records as delineated by privacy laws.</li> </ul>					

### *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.

## REGISTRAR PROGRAMS AND SERVICES

### 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

- The mission of Registrar Programs and Services (RPS) is to maintain stewardship and integrity of student academic records and manage student and institutional academic policies.
- In order to fulfill the mission, RPS
  - maintains student academic records in perpetuity.
  - collaborates with complementary services regarding enrollment management functions.
  - coordinates academic calendars and academic registration.
  - supports academic advising activities.
  - interprets, implements, and ensures compliance with policies and procedures related to academic record-keeping.
  - provides accurate individual and aggregate data to internal and external constituencies.

*Rationale:*

#### 1.2 Mission Implementation and Review

- RPS 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 RPS 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
- Registrar Programs and Services (RPS) contributes to students’ formal education (the curriculum and co-curriculum), learning, and development.
  - RPS contributes to students’ progression toward and timely completion of educational goals and preparation for their careers, citizenship, and lives.
  - RPS treats students courteously with respect for them as individuals.
  - RPS 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
- RPS engages in outcomes assessment, documents evidence of its impact, and articulates the role it plays in student learning and success.
  - RPS uses evidence to create strategies for improvement of programs.

*Rationale:*

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

*Rationale:*

2.4 Collaboration

- RPS collaborates with others across the institution in ways that benefit students.
- RPS provides accurate information and timely service to all constituents.

*Rationale:*

 2.5 Program Leadership

- RPS provides leadership on the implementation of cooperative academic programs, articulation agreements, and other programs involving academic credit.
- RPS provides leadership for developing and maintaining the student record database and archival files.
- RPS provides campus leadership for the application of information technology to academic processes, records, and information.

*Rationale:*

 2.6 Communication of Policies and Procedures

- RPS ensures that cooperative agreements articulate the responsibility for student support and services and the appropriate student conduct policies.
- RPS provides information on academic regulations, policies, and procedures including appeals processes.
- RPS ensures that relevant policies and procedures, including record changes, are communicated effectively to students, faculty members, and other affected constituents.

*Rationale:*

 2.7 Management of Student Accounts, Schedules, Records, and Enrollment

- RPS manages the transfer of matriculating student records from admissions to RPS.
- RPS documents approved transfer credit.
- RPS coordinates course schedules to provide information on courses and sections being offered in any given term with their day, time, location, and delivery formats.
- RPS verifies records for graduation for the preparation and distribution of diplomas.
- RPS verifies student academic eligibility for graduation, honors, academic probation, or dismissal.
- RPS provides appropriate institutional access to academic records and information.
- RPS contributes to the enrollment management efforts of the institution.
- RPS provides a registration process for enrolling students in classes each term.
- RPS certifies student enrollment status.

*Rationale:*

 2.8 Security of Academic Information and Student Records

- RPS develops a workable disaster recovery plan that will allow RPS to function in the event of catastrophic circumstances.
- RPS educates the institutional community on the security and release of student data.
- RPS provides for the maintenance, upkeep, security, integrity, and proper dissemination of academic information.
- RPS develops and implements effective and secure processes for exchange of transcripts between



institutions.

- RPS ensures that the security and confidentiality of student record data are maintained throughout the institution.

*Rationale:*

2.9 Program Data and Reports

- RPS prepares statistical reports and provides reports as required.
- RPS ensures the accuracy and reliability of the data collected and distributed.

*Rationale:*

Overview Questions:

1. What are the most significant student learning and development outcomes of RPS?
2. What difference does RPS make for students who engage with it?
3. What is the demonstrated impact of RPS 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

- Registrar Programs and Services (RPS) 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

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

*Rationale:*

### 3.4 Management

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

*Rationale:*

### 3.5 Supervision

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

*Rationale:*

### 3.6 Program Advancement

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

*Rationale:*

- 3.7 Operation in Response to External Constraints
- RPS identifies and is responsive to external constraints and requirements that impact unit operation (e.g., implications of local, state/provincial, and federal regulations, governing body policies, union agreements, accreditation, professional associations, athletic conference requirements).

*Rationale:*

- 3.8 Consideration for Students and Faculty
- RPS leaders are sensitive to the special needs of students such as part-time students, non-traditional students, students with disabilities, LGBT students, students of various ethnic and cultural groups, distance learners, students studying off campus, international students, and students who restrict information access under privacy laws.
  - RPS leaders are sensitive to the special needs of faculty members including those teaching abroad and those using distance learning or other alternative delivery systems.

*Rationale:*

Overview Questions:

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

- Registrar Programs and Services (RPS) is staffed adequately to accomplish mission and goals.
- RPS has access to technical and support personnel adequate to accomplish the mission.

*Rationale:*

#### 4.2 Recruitment, Supervision, and Professional Development

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

*Rationale:*

#### 4.3 Employment Practices

- Administrators of RPS 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 RPS 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 RPS philosophy toward engaging graduate interns and assistants, and student employees and volunteers in RPS 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

- Registrar Programs and Services (RPS) reviews applicable professional ethical standards and adopts or develops and implements appropriate statements of ethical practice.
- RPS 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 RPS 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

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

*Rationale:*

#### 5.4 Confidentiality Policies and Procedures

- RPS offices develop appropriate protocols regarding disclosure of information and ensure that all staff members, including students, are trained to understand and follow department policies.
- RPS electronic and paper communications and records are governed by basic principles of privacy and confidentiality.
- RPS ensures that the institution has a written policy and published statement regarding confidentiality of records and procedures for access, release, and challenge of educational records, and that the means for enforcement are clearly delineated.

*Rationale:*

Overview Questions:

1. What is RPS’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 RPS?

## 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

- Registrar Programs and Services (RPS) 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.
- RPS has access to legal advice needed for personnel to carry out their assigned responsibilities.
- RPS informs personnel, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.
- RPS 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

- RPS has written policies and procedures on operations, transactions, or tasks that have legal implications.
- RPS regularly reviews policies that are informed by best practices, available evidence, and policy issues in higher education.

- RPS 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.
- RPS provides leadership in the development of institutional policies related to educational information and appropriate legal issues, especially privacy laws.
- RPS ensures that the institution has written policies on all RPS transactions that may have legal implications.

*Rationale:*

6.3 Harassment and Hostile Environments

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

*Rationale:*

6.4 Copyright Compliance

- RPS purchases or obtains permission to use copyrighted materials and instruments and include appropriate citations on materials and instruments.

*Rationale:*

6.5 Governance

- RPS informs personnel about internal and external governance organizations that affect programs and services.

*Rationale:*

6.6 Academic Record Requirements

- RPS has procedures to keep staff members informed of all requirements related to the maintenance of academic records. RPS ensures that procedures and forms used to implement regulations are developed and regularly reviewed to assure fulfillment of institutional requirements.

*Rationale:*

Overview Questions:

1. What are the crucial legal, policy and, governance issues faced by RPS, 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

- Registrar Programs and Services (RPS) creates and maintains educational work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.
- RPS 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

- RPS 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.
- RPS responds to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources.
- RPS 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

- RPS advocates for sensitivity to multicultural and social justice concerns by the institution and its personnel.
- RPS 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.
- RPS addresses the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices.
- RPS 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 RPS ensure constituents experience a welcoming, accessible, and inclusive environment that is equitable and free from harassment?

2. How does RPS address imbalance in participation among selected populations of students?
3. How does RPS address imbalance in staffing patterns among selected populations of program personnel?
4. How does RPS ensure cultural competence of its personnel to ensure inclusion in RPS?
5. How does RPS 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 RPS, 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

- Registrar Programs and Services (RPS) 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.
- RPS reaches out to internal and external populations to garner support and resources for programs and services, collaborates in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes, and engages diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents.
- RPS 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.
- RPS provides information about courses, programs, policies, and procedures for the development of institutional publications, websites, and other educational materials.

*Rationale:*

#### 8.3 Procedures and Guidelines

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

*Rationale:*

- 8.4 Institutional Partnership
- RPS provides leadership to the institution to set standards regarding interpretation of policy and appropriate dissemination of information.

*Rationale:*

Overview Questions:

1. With which relevant individuals, campus offices, and external agencies must RPS maintain effective relations? Why are these relationships important, and how are they mutually beneficial?
2. How does RPS maintain effective relationships with program constituents?
3. How does RPS 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
- Registrar Programs and Services (RPS) has funding to accomplish its mission and goals.

*Rationale:*

- 9.2 Financial Planning and Implementation
- RPS conducts a comprehensive analysis to determine unmet needs, relevant expenditures, external and internal resources, and impact on students and the institution.
  - RPS 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
- RPS administers funds in accordance with established institutional accounting procedures.
  - RPS 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.

- RPS leaders comply with the institution’s financial policies that could affect the budget, with required accounting reports that track expenditures, and with policies governing unused funds.

*Rationale:*

Overview Questions:

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

- Registrar Programs and Services (RPS) 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

- RPS uses current technology to provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and other constituents in accessible formats.
- RPS 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

- RPS backs up data on a regular basis.
- Backup copies of important documentation such as transcripts, the student database, and the processes for accessing the back-ups are stored off site in the event of a natural disaster or damage to the records.
- RPS 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.
- RPS 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
- RPS has policies on student use of technology that are clear, easy to understand, and available to all students.
  - RPS 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 RPS ensure that relevant technology is available for all who are served by RPS?
4. How does RPS use technology to enhance the delivery of programs, resources, services and overall operations?
5. How does RPS 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
- Registrar Programs and Services (RPS) facilities are intentionally designed and located in suitable, accessible, and safe spaces that demonstrate universal design and support the program's mission and goals.
  - Facilities are designed to engage various constituents and promote learning.
  - The design of the facilities guarantees the security and privacy of records and ensures the confidentiality of sensitive information and conversations.

*Rationale:*

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

- Personnel are able to secure their work.

*Rationale:*

11.3 Equipment Acquisition and Facilities Use

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

*Rationale:*

11.4 Policies for External Facilities Usage

- When RPS is responsible for determining facilities usage outside the immediate office, policies and procedures are developed and disseminated with respect to the assignment of such space.

*Rationale:*

11.5 Course Facilities

- RPS coordinates the scheduling of appropriate space and resources for classes, including non-classroom-based courses.

*Rationale:*

Overview Questions:

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

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

*Rationale:*

## 12.2 Reporting and Implementing Results

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

*General Standards revised in 2014;  
RPS content developed/revised in 1995 & 2008*

## 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

---

## REGISTRAR PROGRAMS AND SERVICES

### CAS Standards and Guidelines

#### Part 1. MISSION

The mission of Registrar Programs and Services (RPS) is to maintain stewardship and integrity of student academic records and manage student and institutional academic policies. Therefore, RPS must

- maintain student academic records in perpetuity
- collaborate with complementary services regarding enrollment management functions
- coordinate academic calendars and academic registration
- support academic advising activities
- interpret, implement, and ensure compliance with policies and procedures related to academic record-keeping
- provide accurate individual and aggregate data to internal and external constituencies

Such constituencies needing data may include but are not limited to offices of institutional research, assessment, or enrollment management; faculty members and administrators; accreditation or certification agencies; athletic associations with whom the institution holds membership; entities providing services for veterans or students with special needs; and provincial/state/federal government agencies, such as Homeland Security in the US.

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

#### Part 2. PROGRAM

To achieve their mission, Registrar Programs and Services (RPS) 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, RPS 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.]

RPS 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

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



RPS must

- treat students courteously with respect for them as individuals
- ensure that relevant policies and procedures, including record changes, are communicated effectively to students, faculty members, and other affected constituents
- provide accurate information to all constituents
- provide timely service to all constituents
- ensure the accuracy and reliability of the data collected and distributed
- provide for the maintenance, upkeep, security, integrity, and proper dissemination of academic information
- develop and implement effective and secure processes for exchange of transcripts between institutions
- provide leadership on the implementation of cooperative academic programs, articulation agreements, and other programs involving academic credit
- ensures that cooperative agreements articulate the responsibility for student support and services and the appropriate student conduct policies
- develop a workable disaster recovery plan that will allow RPS to function in the event of catastrophic circumstances
- educate the institutional community with regard to the security and release of student data

In support of the overall mission of the institution, and when responsibility is assigned, RPS must

- provide leadership for developing and maintaining the student record data base and archival files
- provide campus leadership for the application of information technology to academic processes, records, and information
- ensure that the security and confidentiality of student record data are maintained throughout the institution
- contribute to the enrollment management efforts of the institution
- provide a registration process for enrolling students in classes each term, which may include the calculation of tuition and fees
- verify student academic eligibility for graduation, honors, academic probation, or dismissal
- coordinate course schedules to provide information on courses and sections being offered in any given term with their day, time, location, and delivery formats
- coordinate the scheduling of appropriate space and resources for classes, including non-classroom-based courses
- manage the transfer of matriculating student records from admissions to RPS
- document approved transfer credit
- verify records for graduation for the preparation and distribution of diplomas
- provide information about courses, programs, policies, and procedures for the development of institutional publications, websites, and other educational materials
- provide information on academic regulations, policies, and procedures including appeals processes
- certify student enrollment status (e.g., veterans services, rehabilitation services, student loans, insurance, athletic eligibility, residency status)

- provide reports as required (e.g., class rosters, grade rosters, grade reports, transcripts, committee needs)
- provide appropriate institutional access to academic records and information
- prepare statistical reports (as needed for institutional research, enrollment management, assessment, and other purposes, e.g., enrollment projections, retention, attrition, and graduation rates)

If responsibility for other student records, policies, procedures, or regulations is assigned to the RPS, those matters should be handled in accordance with the standards above.

RPS may also be responsible for the academic calendar, coordinate the arrangements for commencement, and provide administrative support to the faculty governance bodies.

RPS should develop appropriate policies and procedures for allowing students to be referenced by a preferred name.

### Part 3. ORGANIZATION AND LEADERSHIP

To achieve program and student learning and development outcomes, Registrar Programs and Services (RPS) must be purposefully structured for effectiveness. RPS 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 RPS 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

#### RPS leaders must

- ensure that newly adopted technologies meet standards of data integrity and accuracy
- be sensitive to the special needs of students such as part-time students, non-traditional students, students with disabilities, LGBT students, students of various ethnic and cultural groups, distance learners, students studying off campus, international students, and students who restrict information access under privacy laws
- be sensitive to the special needs of faculty members including those teaching abroad and those using distance learning or other alternative delivery systems

#### RPS leaders should have

- the skill to motivate and inspire staff members to develop a team atmosphere
- fiscal management skills
- the ability to identify and apply relevant information technology
- strong communication, customer relationship, and service management skills

#### RPS leaders should

- maintain awareness of changing technology and how it applies to RPS; communicate changes to others and educate them about rationale for adopting technologies
- assess decision-making and problem-solving models and select those most appropriate to the institutional milieu
- incorporate student input in decision-making, as appropriate
- serve as a catalyst in institution-wide partnerships due to the broad scope of RPS responsibilities

- demonstrate a philosophy of service to students and the institution
- maintain awareness of the changing ways people identify and how they name their identities to include references to race, ethnicity, gender identity, and sexual orientation
- provide leadership in institutional compliance with federal, state/provincial, and local regulations

RPS must identify and be responsive to external constraints and requirements that impact unit operation (e.g., implications of local, state/provincial, and federal regulations, governing body policies, union agreements, accreditation, professional associations, athletic conference requirements).

RPS should

- develop an organizational chart that identifies cooperative interrelationships with other institutional units and those outside the institution (e.g., institutions with cooperative programs or agreements, study abroad partnerships)
- coordinate programs and services with other institutional personnel, offices, functions, and activities
- collaborate with other enrollment management offices
- establish clear and concise criteria for decision-making and define primary responsibility when more than one unit is involved

#### Part 4. HUMAN RESOURCES

Registrar Programs and Services (RPS) must be staffed adequately by individuals qualified to accomplish mission and goals.

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

Within institutional guidelines, RPS 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 RPS 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 RPS 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.

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

RPS 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

On-going training and staff development should be designed to enhance and broaden understanding of roles and responsibilities within the office and the institution. The support staff should be skilled in interpersonal communications, public relations, knowledge of campus resources, dissemination of information, and the handling of complex and detailed activities. Development for the support staff should include adequate initial training to be able to represent the institution in their office function in a competent, professional, and educational manner.

RPS 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 RPS 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.

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

## PROFESSIONAL PERSONNEL

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

## INTERNS OR GRADUATE ASSISTANTS

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

Supervisors must

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

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

## STUDENT EMPLOYEES AND VOLUNTEERS

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

Specific titles and reporting structures will vary based on institutional mission, goals, and objectives. RPS should report to a senior officer in academic affairs, student affairs, or enrollment management.

### Part 5. ETHICS

Registrar Programs and Services (RPS) 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

RPS offices must develop appropriate protocols regarding such disclosure of information and must ensure that all staff members, including students, are trained to understand and follow department policies.

Basic principles of privacy and confidentiality must govern both electronic and paper communications and records. RPS must ensure that the institution has a written policy and published statement regarding confidentiality of records and procedures for access, release, and challenge of educational records, and that the means for enforcement are clearly delineated.

Statements of ethical standards must

- specify that RPS 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

RPS 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

Registrar Programs and Services (RPS) 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.

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

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

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

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

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

RPS 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.

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

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

RPS must provide leadership in the development of institutional policies related to educational information and appropriate legal issues, especially privacy laws. RPS must ensure that the institution has written policies on all RPS transactions that may have legal implications.

Relevant areas include privacy laws (e.g., Family Educational Rights and Privacy Act (FERPA) in the USA); affirmative action policies; certification of academic transcript information; academic and disciplinary sanctions and dismissals; parental access to records; refund policies; fraudulent records; name changes; gender transitioning; record-keeping practices; facility scheduling policies; access to student information systems; residency status determination; student enrollment status; policies on applicant and student criminal or judicial history; requests for information from government or law enforcement agencies (e.g., in the USA, those related to Homeland Security or the Solomon Amendment); security procedures; social security number usage; court orders; and subpoenas. RPS leaders should meet with the institution's legal counsel regularly to review all relevant documents for clarity and to determine that current regulations are being followed.

RPS must have procedures to keep staff members informed of all requirements related to the maintenance of academic records. RPS must ensure that procedures and forms used to implement regulations must be developed and regularly reviewed to assure fulfillment of institutional requirements.

RPS staff should meet with the institution's legal counsel periodically to review all relevant documents for clarity and to determine that current regulations are being followed. Some of the relevant areas that should be reviewed include affirmative action policies; certification of academic transcript information; academic and disciplinary sanctions and dismissals; parental access to records; privacy laws; refund policies; fraudulent records; name changes; gender transitioning; record-keeping practices; facility scheduling policies; access to student information systems; residency status determination; student enrollment status; policies on applicant and student criminal or judicial history; requests for information from government or law enforcement agencies (e.g., those related to Homeland Security or the Solomon Amendment in the USA); security procedures; social security number usage; court orders; and subpoenas.

## 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, Registrar Programs and Services (RPS) must create and maintain educational and work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.

RPS 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.

RPS 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

Registrar Programs and Services (RPS) 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

Relevant constituencies include administrators, faculty members, students, alumni, and the public, as well as other institutions with which there are articulation agreements, cooperative programs, or transfer of students.

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

RPS 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

RPS must provide leadership to the institution to set standards regarding interpretation of policy and appropriate dissemination of information.

#### Part 9. FINANCIAL RESOURCES

Registrar Programs and Services (RPS) must have funding to accomplish the mission and goals.

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

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

RPS 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.

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

RPS 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

**RPS leaders must comply with the institution's financial policies that could affect the budget, with** required accounting reports that track expenditures, and with policies governing unused funds.

Expenses specific to RPS responsibilities may include purchase and maintenance of customized software systems, adequate security of electronic and hard-copy data, and appropriate back-up systems for all data.

#### Part 10. TECHNOLOGY

Registrar Programs and Services (RPS) 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.

RPS 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

RPS 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, RPS 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

Backup copies of important documentation such as transcripts, the student data base, and the processes for accessing the back-ups must be stored off site in the event of a natural disaster or damage to the records.

RPS should provide to other offices and departments appropriate access to store or retrieve data on students they serve.

#### Part 11. FACILITIES AND EQUIPMENT

Programs and services' 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.

When RPS is responsible for determining facilities usage outside the immediate office, policies and procedures must be developed and disseminated with respect to the assignment of such space.

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.

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

## Part 12. ASSESSMENT

Registrar Programs and Services (RPS) must develop assessment plans and processes.

Assessment plans must articulate an ongoing cycle of assessment activities.

RPS 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

Student input should be incorporated into program improvement and policy development.

RPS must employ ethical practices in the assessment process.

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

*General Standards revised in 2014;*

*RPS content developed/revised in 1995 & 2008*