

# CAS Self-Assessment Guide

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UNDERGRADUATE ADMISSIONS PROGRAMS AND  
SERVICES  
2015

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## UNDERGRADUATE ADMISSIONS PROGRAMS AND SERVICES

### CAS Contextual Statement

Offices of undergraduate admissions play a central role in higher education, and are typically the link between K-12 and postsecondary institutions (Stewart, 1998). Admissions personnel act as ambassadors of an institution and serve as liaisons to students in secondary schools. Indeed, the primary role of undergraduate admissions is to “tell prospective students about the institution and its programs, as well as to recruit, screen, and accept applicants” (Dungy, 2003, p. 343).

Historically, the admissions function grew out of the expansion of higher education in the nineteenth century. Legislation like the Morrill Acts of 1862 and 1890, which designated federal land in each state for the purpose of establishing colleges that specialized in agriculture and mechanical arts, represented a new perspective on educational access and dramatically increased the number and types of higher education institutions (Coomes, 2000; Thelin, 2003). No admissions offices existed in early higher education; faculty members were typically responsible for any decisions regarding admission (Henderson, 1998).

In the late 1800s, institutions began to push for standardized admissions criteria (Henderson, 1998). Selective admissions processes began in the 1920s, as the number of applicants increased (Thelin, 2003) and as institutions outlined criteria for future students. The College Entrance Examination Board created the Scholastic Aptitude Test (SAT), a measure of high school students’ preparedness for high school education (Hurtado, 2003). Private institutions began to recruit prospective students, making that process even more selective (Schulz & Lucido, 2011).

In the early part of the twentieth century, an increase in staff dedicated to admissions work necessitated the need for professional identity and organization. The American Association of Collegiate Registrars and Admissions Officers (formerly the American Association of Collegiate Registrars) formed in 1910, “to serve and advance higher education by providing leadership in academic and enrollment services” (AACRAO, 2015, para. 1; see also Dungy, 2003; Schulz & Lucido, 2011). The National Association for College Admissions Counseling (NACAC), formed in 1937, focuses on the role of the students in the admissions process, citing a mission to serve “students as they make choices about pursuing postsecondary education” (NACAC, 2015, para. 1; see also Dungy, 2003; Schulz & Lucido, 2011).

Throughout the early twentieth century, enrollments continued to rise through the Great Depression and post-World War II (Coomes, 2000; Thelin, 2003). To help manage this growth, a new administrative position emerged in higher education: deans of admissions. Deans of admissions were responsible for assessing whether applicants were adequately prepared for admission, and they are credited with the introduction of objective measures to “examine the quality of applicants for admission” (Coomes, 2000, p. 7). In addition, the push for standardized admissions criteria led to the creation of admissions offices in institutions across higher education, relieving the faculty of the burden of admissions decisions (Henderson, 1998).

College admissions growth continued into the late 1970s, when high school graduation rates declined and college enrollment plateaued (Casteen, 1998). Institutions of higher education now competed for students. The evolution of admissions offices and personnel responsibilities was predicated upon this competition for enrollment. Undergraduate admissions staff employed new skills, such as marketing, in their recruitment strategies (Casteen, 1998; Johnson, 2000).

Today, marketing has become an essential aspect of admissions and enrollment work, which has “drawn admissions officers into institutional activities other than conventional admissions work...[such as] new academic programs, on

athletics, on the design and operation of dormitories, on fund-raising, and other matters because these professionals know the prospective student market so well” (Casteen, 1998, p. 8). NACAC and AACRAO also outline specific core values of personnel working in admissions and enrollment services, including professionalism, collaboration, trust, education, integrity, fairness and equity, respect for others, and social responsibility (AACRAO, 2015; NACAC, 2014).

Undergraduate admissions can occupy different places in the organizational structure of an institution; some place admissions within student affairs, while others include it in enrollment management (Dungy, 2003). The enrollment management structure “brings together often disparate functions having to do with recruiting [students], funding, tracking, retaining and replacing students as they move toward, within, and way from the university” (Maguire, 1976, p. 16). In this organizational model, undergraduate admissions offices are often coupled with the university registrar and financial aid. Additionally, reporting structures vary by institution; some admissions offices report to the provost, to a vice president, or directly to the president (Dungy, 2003).

Admissions officers are responsible for the recruitment and selection of applicants. Applications are reviewed and evaluated on a series of predictors: traditional academic predictors (e.g., high school grades, rank, GPA, admissions tests), characteristics and background (e.g., gender; race/ethnicity; socioeconomic status; alumni ties; high school size, type, and quality; aid application), goals and future plans, supplemental achievement predictors (e.g., honors and achievements), and admissions ratings (e.g., interviews, special talents and attributes) (The College Board, 2002). In general, application decisions are based upon rich and complex processes, and each applicant should be reviewed in the context of their own unique history and characteristics, tied to the mission, vision, and goals of the institution (The College Board, 2002).

Changing trends and student demographics continue to influence admissions practices. NACAC reports that more institutions are using early action or early decision application processes, and that more institutions employ a wait list for applicants (Clinedinst, Hurley, & Hawkins, 2012). New practices have emerged in recent years, as well, including “on the spot” admission and “priority applications” (Clinedinst, Hurley, & Hawkins, 2012). Undergraduate admissions professionals adapt to changing trends in the system and the environment, are experts on students and applicants, and are often the first interaction students have with a university.

The Undergraduate Admissions Programs and Services Standards and Guidelines that follow offer admissions professionals guidance about their role in the institution and help them prepare to respond effectively to the complex demands of their profession.

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## 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/<br>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/<br>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.

# UNDERGRADUATE ADMISSIONS 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

1.1 Program Mission and Goals

- The mission of Undergraduate Admissions Programs and Services (UAPS) is to enroll undergraduate applicants who will, both individually and collectively, benefit from the collegiate learning environment through academic and personal enrichment and development.
- UAPS recruits, admits, and encourages enrollment of applicants whose academic and personal credentials are consistent with the overall priorities and mission of the institution.
- UAPS assesses and evaluates the abilities, needs, and expectations of prospective students as they move from secondary to postsecondary education, as they move from one postsecondary institution to another, or as they return from a period of non-enrollment.
- UAPS establishes, promulgates, and implements admission criteria that accurately represent the mission, goals, purposes and resources of the institution, and that accommodate the abilities, needs, and interests of potential students.

*Rationale:*

1.2 Mission Implementation and Review

- UAPS develops, disseminates, implements, and regularly reviews its mission.
- UAPS clearly and accurately presents the mission, goals, policies, procedures, facilities, and characteristics of the institution.
- UAPS develops and regularly reviews enrollment goals for admission with appropriate individuals within the institution.

*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 the UAPS 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

### 2.1 Program Information and Services

- Undergraduate Admissions Programs and Services (UAPS) accurately represents and promotes their institutions by providing current information about academic majors and degree programs. Information includes factual and accurate descriptions of majors, minors, concentrations and/or interdisciplinary offerings, information about bridge programs, dual high school/college enrollment programs, diploma, certificate, and other special admissions programs.
- UAPS clearly explains the process by which applicants bring credit to the institution including transfer credit or life experience, if applicable at the institution.
- UAPS is responsible for the accurate representation and promotion of the admission calendar, separate admissions to majors, academic offerings, financial aid and cost of attendance, housing application and deposit deadlines, and other related services.
- UAPS provides students, families, and secondary schools with comprehensive information about costs of attendance and opportunities for financial aid.
- UAPS includes a current and accurate admission calendar in publications and websites. If the institution offers special admission options, the publication defines these programs and states deadline dates, notification dates, required deposits, and refund policies.

*Rationale:*

### 2.2 Program Contribution to Student Learning and Development

- UAPS contributes to students' formal education (the curriculum and co-curriculum), learning, and development.
- UAPS contributes to students' progression toward and timely completion of educational goals and preparation for their careers, citizenship, and lives.

- UAPS identifies relevant and desirable student learning and development outcomes that align with the CAS Learning and Development Outcomes and related domains and dimensions.

*Rationale:*

2.3 Assessment of Learning and Development

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

*Rationale:*

2.4 Program Design

- UAPS bases its work on intentional student learning and development outcomes.
- UAPS reflects developmental and demographic profiles of the student population and responds to needs of individuals, populations with distinct needs, and relevant constituencies.
- The program is delivered using multiple formats, strategies, and contexts and is designed to provide universal access.
- UAPS offers recruitment opportunities including community venues for potential adult students.

*Rationale:*

2.5 Policies and Procedures

- UAPS develops recruitment and admission procedures and strategies designed to establish and meet the institution's enrollment plan and diversity goals.
- UAPS clearly articulates the requirements of admission and enrollment processes.
- UAPS has policies and procedures for managing special admissions requests from politically sensitive constituencies, such as legislators, governing board members, donors, and alumni.
- UAPS offices have policies and procedures for managing applications and communicating to students who do not meet traditional admission criteria.

*Rationale:*

2.6 Collaboration

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

*Rationale:*

Overview Questions:

1. What are the most significant student learning and development outcomes of UAPS?
2. What difference does UAPS make for students who engage with it?
3. What is the demonstrated impact of UAPS 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

- 3.1 Organization Documents
- Undergraduate Admissions Programs and Services (UAPS) has clearly stated and current goals and outcomes, policies and procedures, descriptions of personnel responsibilities and expectations, and clear organizational charts.

*Rationale:*

- 3.2 Organizational Structure
- UAPS functions as an independent unit or as part of an overall enrollment management structure.

*Rationale:*

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

*Rationale:*

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

*Rationale:*

### 3.5 Management

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

*Rationale:*

### 3.6 Supervision

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

*Rationale:*

### 3.7 Program Advancement

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

*Rationale:*

Overview Questions:

1. Explain the extent to which UAPS leader(s) are viewed as and held responsible for advancing the departmental mission.
2. Explain the opportunities and limitations present for UAPS leader(s) as they seek to fulfill the program mission.
3. How do UAPS leaders advance the organization?
4. How do UAPS leaders encourage collaboration across the institution?
5. How are UAPS leaders accountable for their performance?
6. How have UAPS 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

- 4.1 Adequate Staffing and Support
- Undergraduate Admissions Programs and Services (UAPS) is staffed adequately to accomplish mission and goals.
  - UAPS has access to technical and support personnel adequate to accomplish the mission.

*Rationale:*

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

*Rationale:*

- 4.3 Employment Practices
- Administrators of UAPS 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.
- UAPS provides appropriate training for personnel involved with the processing of admission applications, including data integrity, transcript authentication, file management, customer service, and the use of technology in the admission process.

*Rationale:*

4.5 Necessary Knowledge and Skills

- UAPS personnel have an understanding of the proper administration and uses of standardized tests and are able to interpret test scores and test-related data to students, parents, families, educators, institutions, agencies, and the public.
- UAPS personnel are able to interpret transcripts with honors courses, AP or CLEP credits, when evaluating undergraduate applications.
- UAPS personnel have an understanding of the needs of students with unique pre-collegiate experiences when evaluating undergraduate applications.
- UAPS personnel recognize and appreciate individual differences among students and integrate an understanding of this information into the recruitment relationship.
- UAPS personnel demonstrate an awareness of and sensitivity to the unique social, cultural, and economic circumstances of students including but not limited to age; cultural heritage; disability; ethnicity; gender identity and expression; nationality; political affiliation; race; religious affiliation; sex; sexual orientation; economic, marital, social, or veteran status; and any other bases included in applicable laws.

*Rationale:*

4.6 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:*

4.7 Interns and Graduate Assistants

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

*Rationale:*

4.8 Student Employees and Volunteers

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

*Rationale:*

Overview Questions:

1. In what ways are personnel qualifications examined, performance evaluated, and personnel recognized for exemplary performance?
2. How are professional development efforts designed, how do they support achievement of the UAPS 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 the UAPS philosophy toward engaging graduate interns and assistants, and student employees and volunteers in the program 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/ | Does Not Meet | Partly Meets | Meets | Exceeds |

|  |                |  |  |  |  |
|--|----------------|--|--|--|--|
|  | Unable to Rate |  |  |  |  |
|--|----------------|--|--|--|--|

5.1 Ethical Standards

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

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

- UAPS personnel and volunteers do not disseminate biased, unflattering, and/or potentially inaccurate information about other secondary or postsecondary institutions, their admission criteria, their curricular offerings, or other related information.
- UAPS cites the source and year of study when institutional publications and communications reference academic programs, academic rigor or reputations, or athletic rankings.

*Rationale:*

- 5.5 Compensation for UAPS Personnel
- UAPS personnel are compensated in the form of a fixed salary, rather than commissions or bonuses based on the number of students recruited, and do not contract with secondary school personnel for remunerations for referred students.
  - UAPS personnel do not offer or accept any reward or remuneration from a college, university, agency, or organization for placement or recruitment of students.

*Rationale:*

- 5.6 Relationships with Prospective Students and Institutions
- Except for Early Decision programs, UAPS does not require or ask secondary schools to indicate the order of prospective students' college or university preferences, and does not require or ask candidates to indicate the order of their college or university preferences.
  - UAPS does not offer exclusive incentives that provide opportunities for students applying or admitted under Early Decision that are not available to students admitted under other admission options.

*Rationale:*

- 5.7 Privacy and Confidentiality
- UAPS develops and uses notification practices that protect the confidentiality of an applicant's admission or denial status. Specific efforts are made to protect privacy when using web based technologies or group email announcements.

*Rationale:*

Overview Questions:

1. What is UAPS' 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 UAPS?

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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

#### 6.1 Legal Obligations and Responsibilities

- Undergraduate Admissions Programs and Services (UAPS) 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.
- UAPS has access to legal advice needed for personnel to carry out their assigned responsibilities.
- UAPS informs personnel, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.
- UAPS informs personnel about professional liability insurance options and refers them to external sources if the institution does not provide coverage.
- UAPS abides by regulations in the *Family Educational Rights and Privacy Act* (FERPA), or other applicable privacy laws when developing policies that authorize the release of student names during the admission process.

*Rationale:*

#### 6.2 Policies and Procedures

- UAPS has written policies and procedures on operations, transactions, or tasks that have legal implications.
- UAPS regularly reviews policies that are informed by best practices, available evidence, and policy issues in higher education.
- UAPS 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.
- UAPS personnel establish policies with respect to the release of student names during the admission process. Any policy that authorizes the release of students' names indicates that the release be made only with the students' permission and be consistent with applicable laws and regulations.

*Rationale:*

#### 6.3 Harassment and Hostile Environments

- UAPS 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

- UAPS purchases or obtains permission to use copyrighted materials and instruments and includes appropriate citations on materials and instruments.

*Rationale:*

#### 6.5 Governance

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

*Rationale:*



Overview Questions:

1. What are the crucial legal, policy and, governance issues faced by UAPS, 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

7.1 Inclusive Work Environments

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

- UAPS 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.
- UAPS responds to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources.
- UAPS recognizes the needs of distance and online learning students by directly providing or assisting them to gain access to comparable services and resources.
- Students inquiring about disability services accommodations are referred to the appropriate institution staff and resources.

*Rationale:*

7.3 Ensuring Diversity, Equity, and Access

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

*Rationale:*

Overview Questions:

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

## Part 8: INTERNAL AND EXTERNAL RELATIONS

Suggested Evidence and Documentation:

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

Criterion Measures:

|                |  |               |              |       |         |
|----------------|--|---------------|--------------|-------|---------|
| DNA            | IE                                       | 0             | 1            | 2     | 3       |
| Does Not Apply | Insufficient Evidence/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

8.1 Internal and External Populations

- Undergraduate Admissions Programs and Services (UAPS) 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.
- UAPS reaches out to internal and external populations to garner support and resources for programs and services, collaborate in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes, and engage diverse individuals, groups, communities, and organizations to enrich the educational environment

and experiences of students and other constituents.

- UAPS reaches out to internal and external populations to disseminate information about the programs and services.
- UAPS works collaboratively with academic departments throughout the recruitment and enrollment process.
- UAPS personnel provide appropriate training to faculty and campus administrators about the admissions process and their role in the recruitment process.
- UAPS provides appropriate training to alumni and other volunteers who participate in the recruitment process to delineate their role in representing the institution with prospective students and their families.
- UAPS works collaboratively with the registrar and institutional research staff when analyzing yield and conversion rates and other related data for admitted students.

*Rationale:*

8.2 Marketing

- Promotional and descriptive information is accurate and free of deception and misrepresentation.
- UAPS works collaboratively with institutional marketing and communications departments in developing publications, websites, video, and other related media that accurately represent the institution to prospective students and their families.

*Rationale:*

8.3 Procedures and Guidelines

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

*Rationale:*

Overview Questions:

1. With which relevant individuals, campus offices, and external agencies must UAPS maintain effective relations? Why are these relationships important, and how are they mutually beneficial?
2. How does UAPS maintain effective relationships with program constituents?
3. How does UAPS 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |
|----------------|--|---------------|--------------|-------|---------|

9.1 Adequate Funding

- Undergraduate Admissions Programs and Services (UAPS) has funding to accomplish its mission and goals.

*Rationale:*

9.2 Financial Planning and Implementation

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

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

*Rationale:*

Overview Questions:

1. What is the funding strategy for UAPS, and why is this the most appropriate approach?
2. How does UAPS ensure fiscal responsibility, responsible stewardship, and cost-effectiveness?
3. If applicable, how does UAPS 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

10.1 Current and Adequate Technology

- Undergraduate Admissions Programs and Services (UAPS) 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

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

- UAPS backs up data on a regular basis.
- UAPS 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.
- UAPS 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

- UAPS has policies on student use of technology that are clear, easy to understand, and available to all students.
- UAPS 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 UAPS ensure that relevant technology is available for all who are served by the program?
4. How does UAPS use technology to enhance the delivery of programs, resources, services and overall operations?
5. How does UAPS 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

- 11.1 Design of Facilities
- Undergraduate Admissions Programs and Services (UAPS) 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
- UAPS 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, UAPS takes into account expenses related to regular maintenance and life-cycle costs.

*Rationale:*

Overview Questions:

1. How are facilities inventoried and maintained?
2. How does UAPS integrate sustainable practices?
3. How does UAPS ensure that facilities, workspaces, and equipment are considered in decision-making?
4. How is UAPS 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/<br>Unable to Rate | Does Not Meet | Partly Meets | Meets | Exceeds |

12.1 Assessment Plan and Practice

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

*Rationale:*

12.2 Reporting and Implementing Results

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

*General Standards revised in 2014;  
AP content developed/revised in 1987, 1997, & 2010*

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

|                                 |  |  |
|---------------------------------|--|--|
| 10. Technology                  |  |  |
| 11. Facilities and<br>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

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Part 10. Technology

Part 11. Facilities and Equipment

Part 12. Assessment



# UNDERGRADUATE ADMISSIONS PROGRAMS AND SERVICES

## CAS Standards and Guidelines

### Part 1. MISSION

The mission of Undergraduate Admissions Programs and Services (UAPS) is to enroll undergraduate applicants who will, both individually and collectively, benefit from the collegiate learning environment through academic and personal enrichment and development.

UAPS must recruit, admit, and encourage enrollment of applicants whose academic and personal credentials are consistent with the overall priorities and mission of the institution.

This may include applicants who may be underprepared for post-secondary study.

To accomplish this mission UAPS must

- assess and evaluate the abilities, needs, and expectations of prospective students as they move from secondary to postsecondary education, as they move from one postsecondary institution to another, or as they return from a period of non-enrollment
- establish, promulgate, and implement admission criteria that accurately represent the mission, goals, purposes and resources of the institution, and that accommodate the abilities, needs, and interests of potential students
- clearly and accurately present the mission, goals, policies, procedures, facilities, and characteristics of the institution
- develop and regularly review enrollment goals for admission with appropriate individuals within the institution

UAPS 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, Undergraduate Admissions Programs and Services (UAPS) 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, UAPS 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.]

UAPS 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

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

UAPS must develop recruitment and admission procedures and strategies designed to establish and meet **the institution's enrollment plan and diversity goals.**

UAPS should have recruitment plans for targeted groups such as

- first generation
- TRIO-eligible and other underrepresented populations
- veterans
- international

UAPS must accurately represent and promote their institutions by providing current information about academic majors and degree programs. Information must include factual and accurate descriptions of majors, minors, concentrations and/or interdisciplinary offerings, information about bridge programs, dual high school/college enrollment programs, diploma, certificate, and other special admissions programs.

UAPS must clearly articulate the requirements of admission and enrollment processes.

These should include processes for the first-year and transfer students, including secondary school preparation, standardized testing, financial aid, housing, and notification deadlines and refund procedures.

UAPS should establish procedures to review and admit, as appropriate, applicants with criminal and disciplinary records in compliance with local, state/provincial, and federal law.

UAPS must clearly explain the process by which applicants bring credit to the institution including transfer credit or life experience, if applicable at the institution.

UAPS must be responsible for the accurate representation and promotion of the admission calendar, separate admissions to majors, academic offerings, financial aid and cost of attendance, housing application and deposit deadlines, and other related services.

UAPS must offer recruitment opportunities including community venues for potential adult students.

UAPS should utilize currently enrolled students, alumni, staff, and faculty members in the recruitment process. Examples include ambassador programs, tour guides, student panels, faculty interviews, or other opportunities for prospective students and their families to interact with current students and faculty.

UAPS should use a variety of strategies to introduce postsecondary opportunities to students and their families.

UAPS must provide students, families, and secondary schools with comprehensive information about costs of attendance and opportunities for financial aid.

The cost of attendance should include course materials, fees, and other non-tuition related expenses.

UAPS must include a current and accurate admission calendar in publications and websites. If the institution offers special admission options, the publication must define these programs and state deadlines dates, notification dates, required deposits, and refund policies.

Special admission options may include Early Admission, Early Action, Early Decision, wait lists, or Restrictive Early Admission.

UAPS should provide current wait-listed applicants notification outlining the number of students from the previous year offered admission, the number who accepted spaces, the number of offered places on the wait list, as well as the availability of financial aid and housing.

UAPS must have policies and procedures for managing special admissions requests from politically sensitive constituencies, such as legislators, governing board members, donors, and alumni.

UAPS offices must have policies and procedures for managing applications and communicating to students who do not meet traditional admission criteria.

### Part 3. ORGANIZATION AND LEADERSHIP

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

UAPS leaders should provide training, orientation, and consultation assistance to faculty members, administrators, staff, institution officials (e.g., trustees), and high school and transfer counselors to assist them in responding to the enrollment needs of students and their families.

UAPS must function as an independent unit or as part of an overall enrollment management structure.

#### Part 4. HUMAN RESOURCES

Undergraduate Admissions Programs and Services (UAPS) must be staffed adequately by individuals qualified to accomplish mission and goals.

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

Within institutional guidelines, UAPS 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 UAPS 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

UAPS staff must recognize and appreciate individual differences among students and integrate an understanding of this information into the recruitment relationship.

Examples of these differences may include aptitude, intelligence, age, interests, first generation, socio-economic status, cultures and cultural identities, and achievements.

Personnel responsible for delivery of UAPS 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.

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

UAPS 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

UAPS 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 UAPS 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.

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

## PROFESSIONAL PERSONNEL

UAPS 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.

Professional staff in UAPS should have knowledge in the following areas:

- institutional curriculum offerings
- student involvement options
- referrals for appropriate institutional community resources in response to particular needs
- various levels of academic preparation and ability
- life planning
- financial aid opportunities and deadlines
- academic advising and student orientation programs and activities

Professional staff members in UAPS should be competent in providing assistance to prospective students regarding their educational goals, including, but not limited to,

- ethical and objective presentation of the institution's programs and opportunities
- careful and concerned analysis of each student's goals
- responsible decision-making in the selection of an institution
- knowledge of admission issues and concerns

## 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.

UAPS staff should possess individual and group communication skills to assist students and their families in the admissions process.

UAPS staff should have an understanding of the psychology of adolescents, young adults, and adult learners, as well as concepts of student development and learning.

UAPS staff must demonstrate an awareness of and sensitivity to the unique social, cultural, and economic circumstances of students including but not limited to age; cultural heritage; disability; ethnicity; gender identity and expression; nationality; political affiliation; race; religious affiliation; sex; sexual orientation; economic, marital, social, or veteran status; and any other bases included in applicable laws.

UAPS staff must have an understanding of the proper administration and uses of standardized tests and be able to interpret test scores and test-related data to students, parents, families, educators, institutions, agencies, and the public.

Examples include, but are not limited to, the following tests: The ACT, ACT PLAN, CLEP, DANTES, GED, Preliminary SAT/National Merit Scholarship Qualifying Test (PSAT/NMSQT), SAT I and SAT II, and Advanced Placement exams.

UAPS staff must be able to interpret transcripts with honors courses, AP or CLEP credits, when evaluating undergraduate applications.

UAPS staff must have an understanding of the needs of students with unique pre-collegiate experiences when evaluating undergraduate applications.

Examples of experiences and characteristics include home schooling, foster youth and homeless, international education, GED graduation, veterans, undocumented, and International Baccalaureate programs.

UAPS must provide appropriate training for staff involved with the processing of admission applications, including data integrity, transcript authentication, file management, customer service, and the use of technology in the admission process.

UAPS staff should remain current in emerging recruitment strategies, including the use of call centers, tele-counseling, on-line and social media, and the use of paid and volunteer staff in the recruitment process.

## Part 5. ETHICS

Undergraduate Admissions Programs and Services (UAPS) must

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

Statements of ethical standards must

- specify that UAPS 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

UAPS 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

UAPS staff and volunteers must not disseminate biased, unflattering, and/or potentially inaccurate information about other secondary or postsecondary institutions, their admission criteria, their curricular offerings, or other related information.

UAPS staff must be compensated in the form of a fixed salary, rather than commissions or bonuses based on the number of students recruited, and must not contract with secondary school personnel for remunerations for referred students.

UAPS staff must not offer or accept any reward or remuneration from a college, university, agency, or organization for placement or recruitment of students.

UAPS must cite the source and year of study when institutional publications and communications reference academic programs, academic rigor or reputations, or athletic rankings.

Except for Early Decision programs, UAPS must not require or ask secondary schools to indicate the order **of prospective students' college or university preferences, and must not require or ask candidates to** indicate the order of their college or university preferences.

UAPS must not offer exclusive incentives that provide opportunities for students applying or admitted under Early Decision that are not available to students admitted under other admission options.

Examples of incentive programs include special residence halls, honors programs, full need-based financial aid packages, or special scholarships in addition to any other promise of an advantage in the admission process if student(s) convert from Regular Admission to Early Decision.

Categories might include student athletes, underprepared students, veterans, or those with a unique talent.

**UAPS must develop and use notification practices that protect the confidentiality of an applicant's** admission or denial status. Specific efforts must be made to protect privacy when using web based technologies or group email announcements.

#### Part 6. LAW, POLICY, AND GOVERNANCE

Undergraduate Admissions Programs and Services (UAPS) 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.

UAPS staff members must establish policies with respect to the release of student names during the **admission process. Any policy that authorizes the release of students' names must indicate that the release** be made only with **the students' permission and be consistent with applicable laws and regulations.**

UAPS must abide by regulations in the *Family Educational Rights and Privacy Act* (FERPA), or other applicable privacy laws when developing policies that authorize the release of student names during the admission process.

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



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

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

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

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

UAPS 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.

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

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

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

UAPS 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.

UAPS 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

Students inquiring about disability services accommodations must be referred to the appropriate institution staff and resources.

UAPS must accurately describe and depict images of the diversity of the institution in admission material and media.

#### Part 8. INTERNAL AND EXTERNAL RELATIONS

Undergraduate Admissions Programs and Services (UAPS) must reach out to individuals, groups, communities, and organizations internal and external to the institution to

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

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

UAPS must work collaboratively with institutional marketing and communications departments in developing publications, websites, video, and other related media that accurately represent the institution to prospective students and their families.

UAPS must work collaboratively with academic departments throughout the recruitment and enrollment process. UAPS staff must provide appropriate training to faculty and campus administrators about the admissions process and their role in the recruitment process.

UAPS must provide appropriate training to alumni and other volunteers who participate in the recruitment process to delineate their role in representing the institution with prospective students and their families.

UAPS must work collaboratively with the registrar and institutional research staff when analyzing yield and conversion rates and other related data for admitted students.

UAPS should coordinate and provide linkages to other campus units such as housing and residential life, campus and visitor information services, financial aid, orientation, registrar, student activities, athletics, academic advising, campus bookstore, student accounts, academic support, disability services, counseling, and career services.

UAPS should identify students deficient in required academic skills and preparation and refer to the appropriate campus units.

UAPS 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

## Part 9. FINANCIAL RESOURCES

Undergraduate Admissions Programs and Services (UAPS) must have funding to accomplish the mission and goals.

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

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

UAPS 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.

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

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

UAPS should have processes to waive admission application fees for prospective students who meet institutionally defined criteria.

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

Procurement procedures must

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

#### Part 10. TECHNOLOGY

Undergraduate Admissions Programs and Services (UAPS) 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.

UAPS 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

UAPS staff should have expertise in utilizing appropriate technologies in recruiting students, including, but not limited to, social networking, broadcast text messages, instant messaging, electronic financial aid resources, and student record-keeping.

UAPS 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, UAPS must

- have policies on the use of technology that are clear, easy to understand, and available to all students

- provide information or referral to support services for those needing assistance in accessing or using technology
- provide instruction or training on how to use the technology
- inform students of implications of misuse of technologies

## Part 11. FACILITIES AND EQUIPMENT

**Undergraduate Admissions Programs and Services' (UAPS) facilities must be intentionally designed and located in suitable, accessible, and safe spaces that demonstrate universal design and support the program's mission and goals.**

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

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

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

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

UAPS should encourage the maintenance of attractive and appealing campus facilities that complement the recruitment and admissions process as well as a welcome facility that provides appropriate first stop information and greeting service to all visitors.

## Part 12. ASSESSMENT

Undergraduate Admissions Programs and Services (UAPS) must develop assessment plans and processes.

Assessment plans must articulate an ongoing cycle of assessment activities.

UAPS 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

UAPS must employ ethical practices in the assessment process.

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

UAPS must employ data-based strategic enrollment management principles when identifying prospective students.

Predictive modeling should be used to identify prospective students and yield data when evaluating the effectiveness of specific recruitment programs and admissions strategies.

Feedback about admission processes should be sought from relevant participants including prospective students, faculty members, staff, and families.

*General Standards revised in 2014;*

*AP content developed/revised in 1987, 1997, & 2010*