

CAS Self-Assessment Guide

ACADEMIC ADVISING PROGRAMS 2019

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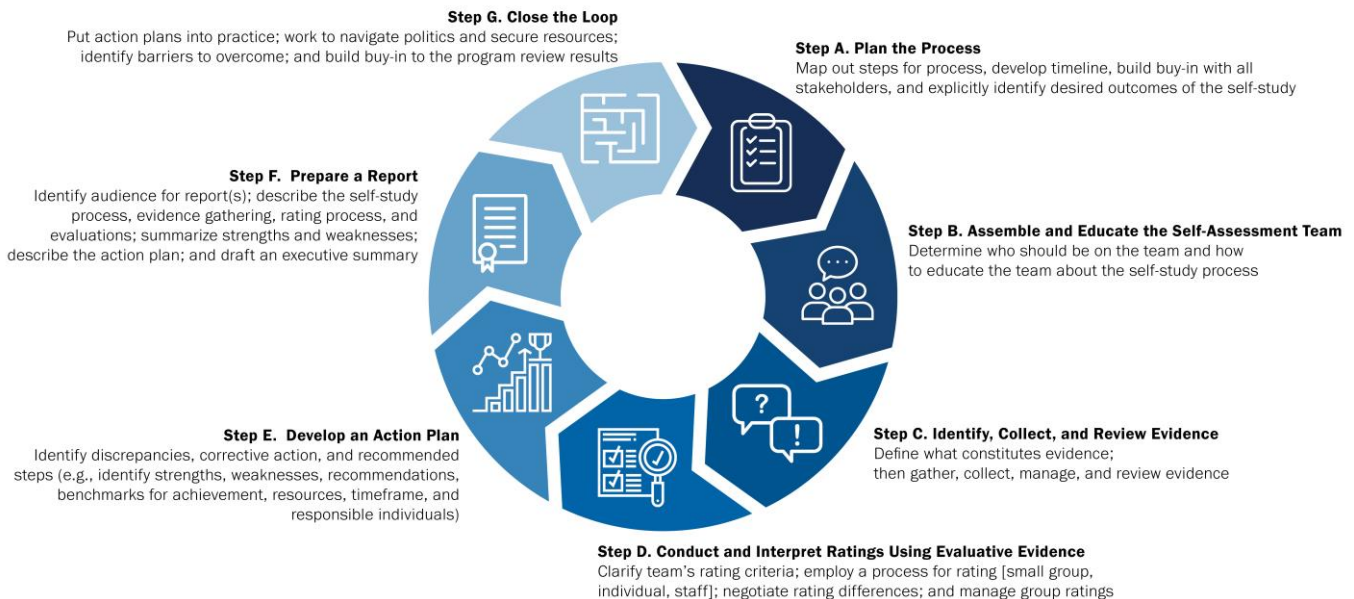
The introduction is followed by the *Self-Assessment Worksheet*, which presents the CAS standards for the functional area and incorporates a series of criterion measures for rating purposes.

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 parts, and the SAG workbook corresponds with the same sections:

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|--|---|
| Part 1. Mission | Part 7. Human Resources |
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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.



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 begins by identifying 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 over 40 higher education professional associations concerned with student learning, development, and success. 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 part includes 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. 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 criterion statement. 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 *Justification for Rating*.
- 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 parts.

- 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 3-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
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets

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 resolution through consensus 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) should individually 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 *Justification for Rating*. 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; the team is then 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. 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 functional area 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, development, and success. 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 “Program and Services” standards as an example, the following graphic illustrates how criterion measures are grouped into subcategories for rating.

2.1 Program and Services Goals					
<ul style="list-style-type: none"> The functional area is guided by a set of written goals and objectives that are directly related to the stated mission. The functional area’s goals are aligned with institutional priorities and expectations of the functional area. The functional area regularly develops, reviews, evaluates, and revises its goals. The functional area communicates goals and progress toward achievement to appropriate constituents. 					
DNA	IE	0	1	2	Rating:
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	
<i>Justification for 2.1 Rating:</i>					
2.2 Program Information and Services					
<ul style="list-style-type: none"> The functional area provides relevant information, services, and resources consistent with its mission and goals. 					

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 can especially 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: Develop 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 Good Practice (Work Form B)

- a) Identify criterion measure ratings where *good practice* in performance was noted (i.e., functional area received a rating of 2).

3) Identify Areas for Improvement (Work Form C)

- 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 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 functional area 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 functional area changes.
 - b) Identify resources (i.e., human, fiscal, physical) that are essential to functional area enhancement.
 - c) Set tentative start-up date for initiating a subsequent self-study.



Step F: Prepare 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 review; 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 good practice and areas of improvement.



Step G: Close the Loop and Manage Change

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.

ACADEMIC ADVISING PROGRAMS

CAS Contextual Statement

Academic advising is an essential contributor to the success and persistence of postsecondary students (Klepfer & Hull, 2012; Kot, 2014; O'Banion, 2016). While the organization and delivery of academic advising reflects an institution's culture, values, and practices (Habley, 1997), academic advisors translate and directly influence personal, institutional, and societal success through their practice. Specifically, academic advisors "work with students to enable them to be confident and assertive in their own abilities to learn, generate, and apply new knowledge and to empower them to embrace their own knowing, learning, thinking, and decision making" (White, 2015, p. 272). In this regard, advisors help students "become members of their higher education community, think critically about their roles and responsibilities as students, and prepare to be educated citizens of a democratic society and a global community" (NACADA, 2006, Preamble, para. 7) and "teach students how to make the most of their college experience" (Miller, 2012, para. 1). As higher education curricula grow increasingly complex and constituents demand accountability, stakeholders feel the pressure to make students' academic experience as meaningful as possible. Academic advising professionals must be ready to meet these challenges and embrace advising as an integral part of an institution's educational mission and equal to instruction (White, 2015).

The role and function of academic advising mirrors the growth and changes in higher education (Cook, 2009; Thelin & Hirschy, 2009). In the 1870s, electives introduced in the academic curriculum meant advisors needed "to guide students in the successful pursuit of their chosen paths" (Kuhn, 2008, p. 5). The 1970s ushered in a new era for academic advising with O'Banion and Crookston's (1972, 1994, 2009) articles advocating a developmental academic advising approach. As the colleges and universities grew in student enrollment and academic offerings, it was clear that there was a need for professional staff members to complement faculty and share certain responsibilities, such as academic advising, to support students as they achieved their short and long-term goals (Combs & Gerda, 2016). Today, higher education recognizes more than a dozen relational styles of academic advising (Drake, Jordan, & Miller, 2013). Each approach encourages primary-role, faculty, and peer advisors to help students delineate their academic, career, and life goals and craft the educational plans necessary to complete their postsecondary objectives. These approaches are often customized to meet the diverse needs of today's college student (Drake et al., 2013).

In 1977, the National Academic Advising Association (NACADA) was formed to provide direction and purpose for practicing academic advisors (Grites & Gordon, 2009). Today, NACADA flourishes with more than 13,000 members in over 40 countries. The NACADA *Statement of Core Values* (NACADA, 2017b) offers the ethical principles that guide advising practice. Along with the NACADA *Concept of Academic Advising* (NACADA, 2006), the NACADA *Academic Advising Core Competencies* (2017a), and the CAS Standards, the Core Values serve as a framework all academic advisors can use to examine their professional practice. As advisors examine their practice, the NACADA Core Competencies identify the breadth and depth of this role in facilitating student success. Based on the Core Competencies advisors should understand theories that support student learning, comprehend foundational information that is necessary to guide students as they achieve goals, and develop skills necessary for building productive relationships (NACADA, 2017a). Information on the NACADA resources, programs, and services can be found at www.nacada.ksu.edu.

As academic advising programs respond to a changing postsecondary environment, advising structures employed must include exemplary practices that pay particular attention to key institutional learning outcomes, serve the distinctive needs of a range of student populations, promote national agendas on degree completion (Drake et al., 2013), and contribute to our understanding of the impact of academic advising on student success. In addition, the increasing public attention placed on college completion means increased visibility for academic advising. Reports such as *Guided Pathways to Success* (Complete College America, 2013) and *Show Me the Way: The Power of Advising in Community Colleges* (Center for Community College Engagement, 2018) point to the importance of academic advising to student success.

The NACADA *Concept of Academic Advising* (NACADA, 2006) purports that academic advising objectives differ among institutions based upon the particular mission, goals, curriculum, co-curriculum, and assessment methods established for the respective campus (White, 2000). NACADA's intensified research agenda over the past two decades has resulted, in part, in the recognition of the role of effective advising on student retention and persistence. Klepfer and Hull (2012), for example, note "the strength of academic advising as a factor in persistence. College students who reported visiting with advisors frequently had a much greater likelihood of persisting than their peers who never did" (para. 17). In turn, the resulting "intensified focus on advising makes it imperative that we assess our academic advising programs to make sure that students are learning from their advising experiences" (Robbins, 2016). According to NACADA (2018a, 2018b) there has been an increased demand over the past two decades for professional development opportunities on assessment of academic advising, a growing number of NACADA consultations involving assessment of advising, an increase in NACADA Conference presentations concerning assessment of academic advising, and more advising programs initiating assessment processes each year. Further, assessment of student learning and development is a fundamental component of the CAS General Standards (CAS, 2018) as well as the CAS Standards for Academic Advising.

Habley (1994) notes that in fact "academic advising is the only structured service on the campus in which all students have the opportunity for on-going, one-to-one contact with a concerned representative of the institution" (p. 10). Today, advisors utilize many theories and strategies from the social sciences, humanities, and education to inform practice. When applying these paradigms, they foster productive relationships with students in support of their higher education goals. Thus, advisor adherence to CAS Standards advances the common goals of academic advising. Lowenstein (2006) observes that "an excellent advisor does for students' entire education what the excellent teacher does for a course: helps them order the pieces, put them together to make a coherent whole, so that the student experiences the curriculum not as a checklist of discrete, isolated pieces but instead as a unity, a composition of interrelated parts with multiple connections and relationships" (para. 5). Academic advisors meet these obligations through applying frameworks for good practice, including building partnerships with pivotal campus offices such as orientation, first-year student programs, and career services.

As institutions seek to increase and diversify enrollments, academic advisors are vital to ensuring appropriate matriculation and transfer leading to degree completion for all students. The evolving manner by which students complete college degrees, including the blending of courses offered on a variety of campuses and online, places new challenges on academic advisors, who must possess the tools needed to meet the demands of students in virtual space and across multiple institutions (Complete College America, 2013).

A crucial component of the college experience, academic advising encourages students to cultivate meaning in their lives, make significant decisions about their futures, and access institutional resources. There is growing evidence that when practiced with competence and dedication, academic advising is integral to student success, persistence, retention, and completion (Klepfer & Hull, 2012; Kot, 2014; O'Banion, 2016). Therefore, academic advisors must develop the tools and skills necessary to address the many issues that influence student success and do so with respect to the increasing diversity on college and university campuses. The 21st century college student listens as society questions the value of their higher education, engages with social media for resources, and experiences identity development and salience through multiple venues. Therefore, the standards and guidelines in the Academic Advising Programs Standards provide a framework for developing strong academic advising programs that support the complexity of the modern student.

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ACADEMIC ADVISING PROGRAMS

CAS Self-Assessment Guide

Part 1: MISSION

Suggested Evidence and Documentation for Part 1: No missions station for advising at this point.

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

1.1 Program and Services Mission No mission statement

- The mission of Academic Advising Programs (AAP) is to assist students as they define, plan, and achieve their educational goals.
 - No mission statement
- AAP advocates for student success and persistence.
 - Yes
- AAP develops and defines its mission.
 - No mission statement
- The AAP mission is consistent with the mission of the department, college, division, institution, and applicable professional standards.
 - No mission statement
- The AAP mission is appropriate for the institution’s students, designated clients, and other constituents.
 - No mission statement
- AAP advances its mission.
 - o mission statement

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

Justification for 1.1 Rating:

Group agreed upon a rating of 0. Academic Advising needs to develop a mission statement and goals.

1.2 Mission Statement No missions statement for the following statement below

- AAP implements, disseminates, regularly reviews, and updates its mission statement.
- The mission statement references student learning, development, and success.

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

Justification for 1.2 Rating:

Group agreed upon a rating of 0. Academic Advising needs to develop a mission statement and goals.

Overview Questions:

1. How does the mission embrace student learning and development?

2. In what ways does the AAP mission complement the mission of the institution?
3. To what extent is the mission used to guide practice?

Part 2: PROGRAM AND SERVICES

Suggested Evidence and Documentation for Part 2:

1. List of program goals and objectives
2. List of current collaborations across the institution (Student Services, Programs, and Activities, Pgs. 43-48)
 - Recruitment and Outreach
 - Academic Workshops
 - Adult Services (www.southernwv.edu under Student Services)
 - Student Services (www.southernwv.edu under Student Services)
 - Learning Studio
 - Tutoring Services
 - Brainfuse
 - PRSS (WV Collegiate Recovery Network) to provide referral and follow up for mental health services
 - Disability Services
 - Career Services (Career Advising, career assessment, mock interviews, resume writing, cover letter, job search and placement, Career Fairs, Networking Opportunities (www.southernwv.edu website under Career Services)
 - Early Alerts
 - GEAR UP – copy of the grant is possessed by the advisor
 - TANF (www.southernwv.edu under Student Services) – copy of the grants are possessed by both advisors
 - Disability Services – Brian Carter
 - Financial Aid
 - Library and/or Digital library resources
 - Information Technology Department
 - Student Government Association (Community Clean Up, Coat Drive)
 - Community Events (Blood Drive, COVID Testing, Vaccinations)
 - Food Pantry
 - SSConnect
 - Veteran’s Assistance
3. Map of program activities
4. Map or report of outcome assessment activities, including results
 - OR 110 Student Learning Assessment Course-Level Reports (Student Services adjunct)
 - Tutoring spreadsheet with data analysis (using Check In and Check Out for number of student participation, final grades from Banner)
 - At Risk spreadsheet
 - Early Alert and Tutoring Results Summary
 - Learning Studio Reports (Quarterly in 2021, semesters in 2022)
5. Strategic plans program design and enhancement
6. Specifications or requirements (if applicable)
7. Organization Chart
 - Workshops and Events fall 2021 and spring 2022 Chart, Workshop and Events fall 2021 and spring 2022 with Gen Ed Outcomes

2.1 Program and Services Goals

- Academic Advising Programs (AAP) is guided by a set of written goals and objectives that are directly related to the stated mission.
 - No set of written goals
- The AAP goals are aligned with institutional priorities and expectations of the functional area.
 - No set of written goals
- AAP regularly develops, reviews, evaluates, and revises its goals.
 - No set of written goals
- AAP communicates goals and progress toward achievement to appropriate constituents.

- No set of written goals,

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

Justification for 2.1 Rating:

Group agreed upon a rating of 0. Academic Advising needs to develop a mission statement, goals, objectives, and outcomes.

2.2 Program Information and Services

- AAP provides relevant information, services, and resources consistent with its mission and goals.
 - No mission or goals have been developed
- AAP advisors engage students in the shared responsibility of academic advising.
 - Advisors meet with students by appointments face to face or via SSConnect. Students are taught Intro to Orientation course how to develop a class schedule, use MySouthern to register themselves, check grades, look at transcripts and more.
 - Students take OR 110 Introductory to College to understand more about the registration process. Students are introduced to the academic catalog (degrees, certificates, skill sets, and course descriptions). Students are shown how to log onto MySouthern to view class schedule and to know how to add/drop a class.
- AAP provides current and accurate advising information.
 - Advisor uses the current catalog to have up to date and current information on programs and classes.
 - Advisor uses the current catalog to have up to date and current information on programs and classes.
 - Advising (Pg. 19, 2020-2021 Academic Catalog)
 - Programs of study (60 credit hours, alphabetical order, pgs. 59-85, 2020-2021 Academic Catalog)
 - Certificate programs (30-36 credit hours, alphabetical order, pgs. 86-103, 2020-2021 Academic Catalog)
 - Skill Sets (4-18 credit hours, alphabetical order, pgs. 105-112, 2020-2021 Academic Catalog)
 - Academic Course Descriptions (list prerequisites, corequisites, credit hours, course description, alphabetical order, pgs. 116-184, 2020-2021 Academic Catalog)
- AAP clarifies institutional policies and procedures for students.
 - Advisors make use of the current catalog to keep abreast of policies and procedures for students.
- AAP raises awareness of institutional and community resources and services for students.
 - Advisors offer workshops and resource packets for resource awareness
 - Creates and distributes flyers about upcoming events/workshops and community services
 - Promotes advertising on campus TV monitors, Southern channel 17, Southern WV Comm. & Technical College social media (Facebook page, LinkedIn)
- AAP monitors academic progress, proactively identify academically at-risk students, and connect those students with appropriate resources to facilitate student success.
 - Coordinator of Student Success monitors at-risk students, reaches out to the at-risk students and provide resources and support to facilitate student success.
 - Student Success Center Coordinator follows up with emails and phone calls to assure at-risk students are on track academically and financially.
 - Student Success Center Coordinator provides Brainfuse sessions to at-risk students to know how to navigate through Brainfuse for “live tutoring” at their convenience.
 - Student Success Center Coordinator sends out Outlook invite for workshops/events to at-risk students.
 - Student Success Center Coordinator advises and registers at-risk students for courses in program of study.
 - Student Success Center Coordinator recommends tutoring services for academic improvement.
 - Student Success Center Coordinator facilitates workshops/events to enhance learning and/or knowledge on specific topics for academic success and/or meeting requirements for boost sessions or tutoring hours for financial aid purposes.
- AAP develops and implements strategies for outreach and promotion.
 - Develops flyers, social media information, emails
 - Student Services submit Media Request to Enrollment Marketing and Communications Specialist to promote workshops/events on flyers, campus TV advertisement, public broadcast Southern channel 17, and social media (Facebook, LinkedIn).
 - Mass emails sent out to students about workshops/events.

- AAP promotes the program such that the campus community can identify the individual or group coordinating academic advising.
 - [Steps for Registration and Student Services personnel contact list provided on the web and as a flyer.](#)
 - Southern website www.southernwv.edu (Student Services under Student Advising icon)
 - Southern website www.southernwv.edu (Student Services under Student Advising icon) When to contact a Student Services Specialist
 - Southern website www.southernwv.edu (Student Services under Student Advising icon) Contact information listed for each campus location to be able to speak to Student Services Specialists for advising
- AAP clearly delineates, publishes, and disseminates information about specific advisor responsibilities to the campus community.
 - [College provides an institution organizational chart](#)

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

Justification for 2.2 Rating:

Group agreed upon a rating of 1. Although some criteria were met, the Academic Advising needs to develop a mission statement and goals.

2.3 Program Structure and Framework

- AAP has clearly stated, current, relevant, and documented goals and outcomes; policies and procedures; responsibilities and performance expectations for personnel; and organizational charts demonstrating clear channels of authority.
 - [The college has an organizational chart that demonstrates clear channels of authority](#)
 - [The college has clear job descriptions for each advisor that are housed in HR](#)
 - [The college has policies and procedures are on the college website](#)

Southern website www.southernwv.edu (Employee Portal under Human Resources icon)

HR Required Postings

- Affirmative Action: Hiring Process
- WV Human Rights Act
- WV Wage Payment and Collection Act
- Family Medical Leave, Military Family Leave Notice
- Unemployment Compensation Benefit Rate Table,
- Workers Compensation
- WV Minimum Wage and Max Hours
- Equal Employment Opportunity
- OSHA
- WV Whistle-blower Law,
- Uniformed Services Employment and Reemployment Rights Act
- Federal Minimum Wage,
- Employee Polygraph Protection Act

Southern Employee Forms

- Change of Address
- Faculty Handbook,
- Employee Handbook,
- Exit Interview Form,
- Overtime and Compensatory Time Request
- Accident/Incident Report Form
- Travel Expense Account Settlement
- Employee Tuition Waive
- OSHA Worker’s Right to Know Brochure
- SCP-2748 Request for Release Time for Full-time Faculty FINAL 06202017
- SCP-2748A Request for Release Time for Full-Time Faculty Form FINAL 0620217
- SCP-2843 Discrimination, Harassment, Sexual Harassment, Sexual and Domestic Misconduct, Stalking, and Retaliation 06202017
- SCP-7000 Email Established as an Official Form of Communication FINAL 06202017

Retirement

- TIAA Website (hyperlink)
- TRS Website (hyperlink)

Medical Leave

- Catastrophic Leave
- Return to Work Authorization Medical Release
- Medical Leave for employees and/or family members
- Military Service members, and Military Leave Faculty
- Long Term Disability forms for download

Flex Benefits

- Vision
- Mountaineer Flex Plan
- Legal Plan
- Delta Plan links

Health Benefits

- PEIA link

Grievance Forms

- Public Employee Grievance Board Forms link

Employee Relations

- WV Higher Education Compensation Study: Job Classification and Salary Administration Guidelines (link)

Application for Employment

- Instructions for Applicant
- Application for Employment
- Supplemental Pre-Employment Questions
- EEO and Reference Form
- Equal Opportunity Statement Updated 7/6/2021
- Affirmative Action Plan 2021-2022

Other Forms

- Adjunct Faculty Packet
- Classification Review Request
- Educational Release Time Request for Classified Employees
- Employee Tuition Waiver Application
- Ethics Act Brochure
- External Professional Activities Report
- Faculty Absence Request Report
- FERPA Statement of Understanding
- Individual Learning Plan
- Overtime and Compensatory Time Request
- PIQ
- Professional Development Request
- Payroll Direct Deposit Change Form
- Payroll Direct Deposit Setup Form
- Performance Appraisal Non-Classified Admin
- Performance Appraisal Admin/Mgr./Professional
- Performance Appraisal Office Tech
- Performance Appraisal Service Craft
- Professional Development Funding Request
- Request for Release Time Form
- Request for Personnel Action
- Request to Advertise for Personnel
- Request to Hire Temps
- Travel Direct Deposit
- W-4
- WVIT-104
- Wellness Program Consent
- Payment for Services Form

Organizational Chart

- Organizational Chart-Effective 1.18.2022

- AAP is purposefully structured and resourced to balance efficiency and effectiveness.
 - We have advisors on each campus and they also serve on SSConnect

- We have one Director of Student Success
- Advisors on each campus see walk ins, scheduled appointments, students on SSConnect, along with phone calls and emails.
- Campus locations** www.southernwv.edu (Campus and Sites, Student Services under Student Services Staff icon)
 - Williamson campus (three advisors)
 - Logan campus (1 Director of Student Success)
 - Logan campus (3 advisors)
 - Logan campus (Student Success Coordinator)
 - Boone/Lincoln campus (1 advisor)
 - Wyoming/McDowell campus (1 advisor)
- AAP is purposefully structured and resourced to achieve programmatic and student learning and development outcomes.
 - The college has advisors placed on each campus and they also serve on SSConnect
 - Campus locations** www.southernwv.edu (Campus and Sites, Student Services under Student Services Staff icon and number of advisors)
 - Williamson campus (3 advisors)
 - Logan campus (1 Director of Student Success)
 - Logan campus (3 advisors)
 - Boone/Lincoln campus (1 advisor)
 - Wyoming campus (1 advisor)
- AAP provides adequate resources to ensure that academic advising caseloads are consistent with the institutional mission and stated goals.
 - Each advisor follows the college catalog when conducting academic advising.
 - Every advisor follows the programs of study, certificates, or skill sets in the college catalog to register students for courses during advising.
- AAP works in close consultation and collaboration with others with expertise and resources to meet the needs and interests of students and designated clients.
 - Advisors have knowledge of who has expertise and resources to meet the needs of students and designated clients and will reach out when needed.
 - Each advisor knows how to advise a plan that is specific for every student and to link them to the right resources on or off campus that are beneficial for student success.
- AAP collaborates with colleagues and departments across the institution to promote student learning, development, and success.
 - Advisors collaborates with others across the institution to promote student learning, development and success.
 - Student Services Specialists work with the other departments within the institution to link students to the resources that are needed (Registrar, Records, Financial Aid, Cashier's Office, Disability Services, Career Services, TANF, GEAR UP, Veterans Services).

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

Justification for 2.3 Rating:

Group agreed upon a rating of 1. Although some criteria were met, the Academic Advising needs to develop a mission statement and goals.

2.4 Program Design

- AAP is intentionally designed to achieve predetermined student learning and development outcomes.
 -

- AAP is intentionally designed to incorporate research and theories on student learning, development, and success.
 -
- AAP is intentionally designed to respond to the needs of individuals, constituents, and populations with distinct needs.
 - Yes, advisor use face-to-face, emails, phone calls, and SSConnect
 - Yes, advisors see walk ins that are face-to-face, emails, phone calls, schedule appointments, and SSConnect for registration, financial aid, etc. purposes.
- AAP is intentionally designed to ensure access for students and designated clients.
 - Yes, advisors use face-to-face, emails, phone calls and SSConnect to provide access to services.
 - Yes, advisors see walk ins face-to-face, email correspondence, phone call contacts, and SSConnect to provide services needed for admission process, student registration, financial aid assistance, records and cashier assistance.
- AAP provides the same quality of academic advising and in the appropriate accessible forums to distance learners as it does to students on campus.
 - Yes, advisors use a virtual service, SSConnect, emails and phones calls to reach distant learners.
 - Yes, advisors are on SSConnect where the virtual service allows students to connect to a hostess to get the services they need. They can see an advisor for registration; meet with a financial aid advisor to check on their financial aid status, scholarships, student loans, WV Invests, HEAPS, etc. There are available times that Records and the Cashier Office are available to assist students with payment, etc. if needed.
- AAP makes advising available to students throughout their time at the institution.

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

Justification for 2.4 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. What are the goals and objectives of AAP? There is no mission statement; therefore, there are no written goals or objectives at this time.
2. To what extent does the AAP structure allow it to be effective? Provides a sense of direction for students to achieve academic goals.
3. What are the key programs, services, and resources offered by AAP?
To help students successfully navigate the enrollment process, find and select an appropriate higher education academic program, assist with selecting courses and to offer ongoing support of those students. The secondary goal is to help these same students make a successful transition into the workforce and/or continued post-secondary education. To guide the student through the enrollment process.

List of current collaborations across the institution (Student Services, Programs, and Activities, Pgs. 43-48)

- Recruitment and Outreach
- Academic Workshops
- Adult Services (www.southernwv.edu under Student Services)
- Student Services (www.southernwv.edu under Student Services)
- Learning Studio
- Tutoring Services
- Brainfuse
- PRSS (WV Collegiate Recovery Network) to provide referral and follow up for mental health services
- Disability Services
- Career Services (Career Advising, career assessment, mock interviews, resume writing, cover letter, job search and placement, Career Fairs, Networking Opportunities (www.southernwv.edu website under Career Services))
- Early Alerts

- GEAR UP
- TANF (www.southernwv.edu under Student Services)
- Financial Aid
- Library and/or Digital library resources
- Information Technology Department
- Student Government Association (Community Clean Up, Coat Drive)
- Community Events (Blood Drive, COVID Testing, Vaccinations)
- Food Pantry
- SSConnect

4. How does AAP contribute to the student experience? It builds rapport between the advisors and students for academic success. It allows the students to be part of the decision-making process.

Part 3. STUDENT LEARNING, DEVELOPMENT, AND SUCCESS

Suggested Evidence and Documentation for Part 3:

1. Program student learning and development outcomes, and brief description of how they were developed Defined in revised class syllabi, in accordance with HLC outcomes. Evidence is housed in the office of Executive Assistants for the Department Chairs.
2. Program student learning, development, and success outcomes and related assessment data
3. List of current collaborations across the institution that facilitate student learning, development, and success Student Learning Studio, Early Alerts, and Office of Career Development. Evidence is housed in the Office of the Student Success Coordinator's Office and Career Development.
4. Map of program activities and ways they connect to student learning, development, and success outcomes Event outcomes and educational goals are reported to Tom Morris from the Student Success Coordinator's Office. Results are housed in the office of the Director of Accreditation and Assessment.

3.1 Program Contribution to Student Learning, Development, and Success

- Academic Advising Programs (AAP) contributes to students' formal education, which includes both curricular and co-curricular experiences
 - **Yes Students are advised using the 20-21 Catalog to determine progression toward program completion. Co-curricular organizations are promoted through student email to develop student participation and interest. Email information would be housed in the office of Darrell Taylor, Roger Williamson, Chris Ward, Lillie Teeters.**
- AAP promotes student learning, development, and personal growth to encourage self-sufficiency.
 - **Yes The OR 110 class is scheduled in part to instruct students on how to self-register and self-audit their program progress.**
- AAP contributes to students' progression and timely completion of educational goals.
 - **Yes, advisors conduct academic audits to keep students on track of their program of study.**
 - **Advisor use educational program plans to mark progress semester by semester.**
 - **Southern participates in the state-wide 15 to Finish initiative to guide students to a 2 year completion goal.**
 -
- AAP assists students in identifying the realistic timeframe to complete their educational goals and support their efforts.
 - **Yes, educational program plans from the current catalog is used**
- AAP helps students and designated clients prepare for their careers and meaningful contributions to society.
 - **Yes Students are advised regarding realistic career expectations for their program**
- AAP provides opportunities that help inform student choices and decisions about academic work and about educational, career, and life goals.
 - **Yes Both through OR 110 (see syllabus) and the Office of Career Development. Evidence is housed in the office of the Student Services Coordinator and Office of Career Development.**

- AAP supports students, on an ongoing basis, as they establish and evaluate their educational, career, and life goals.
 - **Yes. Advisors area available at any time to speak with students. Students are welcome to discuss and re-evaluate new goals and how their current college progress relates to other outcomes.**
- AAP works with the institution to identify relevant and desirable student success outcomes.
 -
- AAP advocates for appropriate resources to facilitate student success.
 - **Advisors work with students to refer them to resources necessary for student success such as, tutoring, academic workshops, career services, disability services and etc.**
- AAP identifies relevant and desirable student learning and development outcomes.
 -
- AAP implements strategies and tactics to achieve the student learning, development, and success outcomes.
 - Results from OR 110 assessments and Student Learning Studio participation are researched to determine effective outcomes. Evidence is housed in the office of the Chief Student Services Officer and Student Services Coordinator.
- When institutional policy or process interferes with students' learning and development, AAP advocates for change using appropriate institutional means.
 - Advisors meet with the chief academic officer, academic deans, chief academic officer and other advisors to make recommendations. Class substitutions, class overrides, and other accommodations are frequently recommended, in cooperation with faculty and academic officers, to help students circumvent issues that could prevent program completion.

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

Justification for 3.1 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

3.2 Student Learning and Development Domains and Dimensions

- AAP aligns predetermined student learning and development outcomes with the CAS learning outcomes model or other recognized student learning and development models.
 - SSConnect
 - Tutoring
 - At Risk Students
 - Early Alerts
 - Case management

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

Justification for 3.2 Rating:

Group agreed upon a rating of 1. Although some outcomes were met, the Academic Advising just started the CAS process in 2022.

3.3 Assessment of Student Learning and Development

- AAP assesses the student learning and development outcome domains and dimensions relevant to the functional area.

- ACT
- SAT
- Accuplacer,
- AP
- AAP provides evidence of the extent to which student learning and development outcomes are achieved.
 - Early Alerts, Surveys with gen ed goals
 - OR 110 data/Campus Tool kit
 - Tutoring data
 - At Risk Students data
- AAP provides evidence of the extent to which student success outcomes are achieved.
 - Early Alerts, Surveys with gen ed goals
 - OR 110 data/Campus Tool kit
 - Tutoring data
 - At Risk Students data
- AAP uses evidence to create strategies for improving student learning, development, and success.

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

Justification for 3.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. What are the most significant student learning, development, and success outcomes of AAP?

The primary goal for any advisor is the successful completion of a program, in a timely manner. Providing the student can achieve this goal, we then encourage participation in co-curricular pursuits such as SGA, NLA, etc.
2. What is the demonstrated impact of AAP on student learning, development, and success?

The ideal result of student advising is a student who can successfully navigate the demands of college enrollment, such as: self-registration, awareness of financial aid and its requirements, and determine when to access the services provided by the college, such as, tutoring, advising and financial assistance. Since we have approximately a two-year window to work with the student, it is important that we prepare the student for transition from an academic environment with fewer responsibilities to that of an adult that either participates in the work place and its challenges or pursues continuing education at the Bachelor's level with less support than they may have received at Southern.

Part 4. ASSESSMENT

Suggested Evidence and Documentation for Part 4:

1. Functional area goals, key indicators, outcomes, and related assessment data
2. Assessment data related to student learning, development, and success outcomes
 - OR 110 Student Learning Assess. Course Level Report – In possession of Tom Morris
 - OR 110 Data Spreadsheet – Possessed Darrell Taylor
 - Learning Studio Reports – Housed in Student Services
 - Tutoring Spreadsheet Data –Housed in Student Services
 - Early Alert Grade Summary – Tom Cook
 - Student Tutoring Check-In (<https://forms.office.com/r/fSm5esjye2>)
 - Student Check-Out – (<https://forms.office.com/r/L9khrRkhL8>)
3. Assessment plans and annual reports

4. Minutes of meetings at which assessment activities and results are discussed
5. Professional development activities to improve assessment competence

4.1 Establishing a Culture of Assessment

- Academic Advising Programs (AAP) develops assessment plans and processes that document progress toward achievement of mission, goals, outcomes, and objectives.
 - No mission or goals, no mission or goals
- AAP designs assessment plans that incorporate an ongoing cycle of assessment activities.
 - SEMP plan, Strategic Enrollment Management Plan (SEMP)
- AAP has fiscal, human, professional development, and technological resources to develop and implement assessment plans.
 - CAS Standards training

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

Justification for 4.1 Rating:

Group agreed upon a rating of 1. Although some criteria were met, the Academic Advising needs to develop a mission statement, goals, objectives, and outcomes.

4.2 Program Goals, Outcomes, and Objectives

- AAP identifies goals, outcomes, and objectives to guide its work.
 - No
- AAP identifies assessment methods that will allow for the collection of relevant data on its goals, outcomes, and objectives.
 - **ACCUPLACER placement for EN and MT along with career exploration assessment tools.**
Accuplacer placement scores are found in 2020-2021 Academic Catalog on pages 18, 143, and 158 that lists the ACT and SAT scores for college-level readiness.
 - To be college-level ready in math, students must have a 510 in Quantitative Reasoning SAT scores.
 - To be college-level ready in English, students must have a 480 in English Composition SAT scores.
 - To be college-level ready in math, students must have a 19 in Quantitative Reasoning ACT scores.
 - To be college-level ready in English, students must have an 18 in English Composition ACT scores.
 - To be college-level ready in math, students Accuplacer test scores must be 250 in Quantitative Reasoning. If students score higher, then they are placed in higher level math courses.
 - To be college-level ready in English, students Accuplacer tests scores must be a 250 in English in Composition and a 252 in Reading. Students that meet the minimum test scores are not placed in the enhanced.
- When collaborating with other departments on assessment activities, the activities are consistent with the AAP mission and assessment plan.-
 - SEMP, No mission on advising

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

Justification for 4.2 Rating:

Group agreed upon a rating of 1. Although some criteria were met, the Academic Advising needs to develop a mission statement, goals, objectives, and outcomes.

4.3 Assessment Plan and Process

- AAP sets program goals, outcomes, and objectives.
 - SEMP

Enrollment Management Goals: The following broad goals have been established to meet the challenges identified through an analysis of data presented by American Association of Community Colleges (AACC) Pathways Project, the Community and Technical College System of West Virginia Master Plan, and the reports submitted by Southern’s Strategic Enrollment Management Planning team.

 - Increase the number of first-time Southern students.
 - Increase the number of recruited students to enrollment.
 - Improve persistence and retention rates.
 - Increase institutional support for student success.
 - Improve completion rates.
 - Improve connections with alumni.
- AAP develops and implements an assessment plan.
 - SEMP
- AAP reviews and interprets findings of assessment initiatives.
 - SEMP is reviewed on governance days. Subcommittees meet periodically to review and update prior to governance days.
- AAP develops a plan for data use, continuous improvement, and reassessment.
 - **Yes SEMP**

Strategies for Achieving Goals: For each strategy listed under the four Key Enrollment Lifecycles, the accountable leader is required to complete the Strategic Enrollment Management Planning (SEMP) template and oversee the implementation strategies as well as manage the data reporting requirements within the Watermark Accountability Management System (AMS) system. Completion rates will be calculated as attainment of degree, certificate or skill-set as established by the student’s personal goal.
- AAP implements an improvement.
 - **Focus on Student Learning:** The purpose of Southern’s Strategic Enrollment Management Plan is to improve student learning performance by:
 - Increasing course completion rates.
 - Increasing retention (fall-spring/fall-fall), persistence (4-yr) and employment rates.
 - Increasing courses completed to 15 credits each semester and 30 credits each year.
 - Increasing completion of math and English during the first year.
 - Increasing credential awards.
 - Decreasing median time to degree and college credits awarded.
- AAP reviews and monitors changes that have been made based on assessment results.
 - At Risk Student data
 - Tutoring data, OR 110 data/Campus Tool kit
 - Early Alerts, Surveys with gen ed goals
- AAP implements the assessment process with methods that reflect universal design principles.
 - Facilities are ADA compliant,
 - Civil Rights Audit
 - WIA Assurance Section 504 Self Evaluation
- AAP employs ethical practices in the assessment process.
 - Personnel Evaluation
 - EOE disclaimer
 - HR Orientation material
 - State Employee Ethics Act
- AAP implements assessment processes in a way that is culturally responsive, inclusive, and equitable.
 - EOE disclaimer, State Employee Ethics Act
- AAP engages students, faculty, staff, administrators, and other relevant constituents in assessment activities.

- Meets on governance days to review Strategic Enrollment Committee.
- Subcommittees meet periodically to review and update prior to governance days.

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

Justification for 4.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

4.4 Gathering Evidence The following can be found in the SEMP

- AAP identifies priorities for assessment, including both formative and summative approaches.
- AAP employs multiple methods and measures of data collection.

Current Enrollment Situation: Southern West Virginia Community and Technical College has experienced a decline in unduplicated headcount enrollment for more than five years. The decline in high school graduates and the downturn of the coal industry are direct correlations to the decrease in enrollment. The data below was acquired from the 2017 West Virginia Higher Education Report Card.

HEADCOUNT ENROLLMENT

Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018
2002	1838	1643	1680	1620	*1457

**Preliminary*

Census Headcount SEMP page 4

About this Measure

This indicator tracks the number of students taking for-credit classes according to fall, end-of-term data. These figures reveal the number of students working toward a degree or a specific skill set in order to garner the credentials needed to meet West Virginia’s workforce needs.

HEADCOUNT ENROLLMENT, ADULT POPULATION (AGE 20 AND OLDER)

Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018
1271	1099	1077	1115	986	*842

**Census*

Figure SEMP page 4

About this Measure

This indicator tracks the number of non-traditional, adult students taking for-credit classes as indicated by fall, end-of-term data. This age group is particularly important since national data indicate that the number of high school graduates will decline in the next decade and this age group will become a smaller proportion of West Virginia’s population.

PERCENTAGE ADULT POPULATION (AGE 20 AND OLDER)

Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018
63.4%	59.8%	65.6%	66.4%	60.9%	*57.8%

**Census*

Figure SEMP page 4

About this Measure

Percentage of non-traditional population of overall headcount enrollment

ONE-YEAR RETENTION RATE

Fall 2013	Fall 2014	Fall 2015
53.4%	56.3%	54.8%

**Analytics data SEMP page 4*

About this Measure

This indicator provides the proportion of all first-time freshmen who are enrolled the following year at any West Virginia public college or university. Students are more likely to drop out during their first year of college than at any other time. The ability to provide support that will assist with retention during this first year will increase the likelihood of higher graduation rates. Both degree and certificate seeking students were included. This first-year retention is an important milestone on the way to completion of a degree or certificate.

Targets

The expected increase in unduplicated headcount will be achieved by increasing retention rates and application to enrollment initiatives. Our target goals for initiatives are below. *SEMP page 15*

TARGET HEADCOUNT

Fall 2019	Fall 2020	Fall 2021	Fall 2022	Fall 2023
1525	1625	1750	1900	2075

TARGET COURSE COMPLETION RATE

Fall 2019	Fall 2020	Fall 2021	Fall 2022	Fall 2023
62.5%	66.00%	70.5%	75.00%	80.00%

**TARGET ONE-YEAR
RETENTION RATE**

Fall 2019	Fall 2020	Fall 2021	Fall 2022	Fall 2023
57.5%	62.5%	68.00%	74.5%	80.00%

**Other Target data is recorded in SEMP on page 15.*

- AAP develops manageable processes for gathering, interpreting, and evaluating data.
- AAP adheres to institutional policies related to data access and management.
- AAP ensures measures and methods are rigorous and reflect characteristics of validity, reliability, and trustworthiness.

ALL CERTIFICATES AND DEGREES AWARDED (ACADEMIC YEAR)

Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018
378	306	384	398	419	*438

**Estimate*

About this Measure: This indicator provides the total number of certificates and associate's degrees whether career/technical or academic, awarded by institutions in each academic year.

CTCS STUDENTS ENTERING BACHELOR’S DEGREE PROGRAM FOLLOWING FALL

Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
120	121	101	-	-

About this Measure: This indicator provides the number of students who enroll in a bachelor’s degree program the following fall after having been enrolled at a community and technical college in the fall of the year indicated.

EMPLOYMENT PLACEMENT

Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017
69.3%	76.7%		-	-

About this Measure

This measure reports the percentage of graduates who enter the workforce within two years of graduating and work at least one quarter. It is important to note that due to data restrictions employment placement is only representative of graduates working in the state of West Virginia. It is likely this has an effect on the employment placement rate of institutions who are close to the state boarder.

SKILL SET COMPLETERS

Fall 2013	Fall 2014	Fall 2015	Fall 2016	Fall 2017	Fall 2018
3063	4018	1992	2170	3046	3993

About this Measure

This indicator provides the number of students completing skill enhancement, skill sets, and advanced skill set programs. These programs are designed to meet immediate and crucial workforce needs. Because these programs are designed to react to workforce needs, there are often legitimate fluctuations in number of completers from year to year.

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

Justification for 4.4 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

4.5 Review and Interpret Findings

- AAP uses methods to analyze and interpret data that correspond with objectives and questions considered within overall assessment goals.
 - SEMP
 - CAS
 - Argos reports,
 - HLC reports,
 - OR 110 data/Campus Tool Kit
 - Tutoring data
 - Early Alert data
 - At Risk Students data
- AAP disaggregates data to address the objectives and questions considered in the assessment project.
 - SEMP
 - CAS
 - Argos reports

- HLC reports
- OR 110 data/Campus Tool Kit
- Tutoring data
- Early Alert data
- At Risk Students data

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

Justification for 4.5 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

4.6 Reporting Results and Implementing Improvement – The following can be found in the SEMP

- AAP uses assessment results to demonstrate learning, development, and success.
 - CAS
 - SEMP
 - Survey results
- AAP uses assessment results to demonstrate effectiveness and continuous improvement.
 - CAS
 - SEMP
 - Survey results
- AAP uses evidence from assessment activities to inform decision-making and planning for continuous improvement.
 - CAS
 - SEMP
 - Survey results
- AAP monitors improvements implemented based on assessment results.
 - CAS
 - SEMP
 - Survey Results
- AAP applies results for future planning.
 - SEMP document/updates
 - CAS Process and Self Study Report
 - Director Meeting and Agenda Minutes
- AAP informs constituents of assessment results and how data have been used for continuous improvement.
 - CAS
 - SEMP
 - Survey results
- AAP distributes relevant data regarding student needs, preferences, and performance for use in institutional decisions and policy.
 - SEMP document /updates
 - HLC report /updates
 - Student Success Committee Agenda and Minutes
 - Advising Meeting Minutes and Agenda

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

Justification for 4.6 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. What is the comprehensive assessment strategy for AAP? *SEMP page 8*

Strategies for Achieving Goals:

For each strategy listed under the four Key Enrollment Lifecycles, the accountable leader is required to complete the Strategic Enrollment Management Planning (SEMP) template and oversee the implementation strategies as well as manage the data reporting requirements within the Watermark Accountability Management System (AMS) system. Completion rates will be calculated as attainment of degree, certificate or skill-set as established by the student’s personal goal.

2. What are priorities for assessment of AAP and how are those developed?
3. How are tangible, measurable learning, development, success, and program outcomes determined to ensure achievement of mission and goals?
5. How does AAP use assessment results to inform improvement? What changes, adjustments, or improvements have been made as a result of assessment activities?
4. How does AAP share assessment results with relevant constituencies?
5. How does AAP support ongoing development of assessment competencies for personnel?

Part 5. ACCESS, EQUITY, DIVERSITY, AND INCLUSION

Suggested Evidence and Documentation for Part 5:

1. Vision statements, goals, and objectives related to access, equity, diversity, and inclusion
2. Training plans and agendas for personnel and/or students
3. Lists of programs and curriculums related to access, equity, diversity, and inclusion
4. Policies, procedures, and/or handbooks (specifically statements against harassment or discrimination)
5. Facilities accessibility audit
6. Assessment results such as participation rates, demographics, campus climate, and student needs

5.1 Inclusive and Equitable Educational and Work Environments.

- Academic Advising Programs (AAP) creates and maintains educational and work environments that are welcoming, accessible, inclusive, equitable, and free from bias or harassment.
 - **HR conducts new employee orientation that covers affirmative action, Title IX, Section 504, and the policy SCP 2843 Discrimination, Harassment, Sexual Harassment, Sexual and Domestic Misconduct, Stalking and Retaliation Policy and SIP 4200 Accessibility and Accommodations for Persons with Disabilities. Also, reference can me made the veteran status in the 2020-2021 catalog, pages 51-53.**
- AAP does not discriminate on the basis of race; color; national origin; sex; disability; age; cultural identity; ethnicity; nationality; citizenship; family educational history; political affiliation; religious affiliation; sexual orientation; gender identity and expression; marital, family, social, economic, place of residence, or veteran status; or any other basis included in codes, laws, and institutional policies.
 - **The college has an Affirmative Action statement that is located in the catalog on the third page. There has been an established affirmative action officer, Title IX Coordinator and a Section 504 Coordinator. AAP is conducted with the upmost respect to all students. Refer to SCP 2843 Discrimination, Harassment, Sexual Harassment, Sexual and Domestic Misconduct, Stalking and Retaliation Policy and SIP 4200 Accessibility and Accommodations for Persons with Disabilities. Also, reference can me made the veteran status in the 2020-2021 catalog, pages 51-53.**

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

Justification for 5.1 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

5.2 Organizational Aspects of Access, Equity, Diversity, and Inclusion

- AAP provides equitable access to facilities and resources for all constituents.
 - **Affirmative Action Statement on the third page of the 2020-2021 catalog**
- AAP responds to the needs of all constituents when establishing hours of operation and developing methods for delivering programs, services, and resources.
 - **Advisors assist students in multiple ways such as emails, phone calls, and through a virtual platform called SSConnect. Student also come to campus and are served face-to-face. Hours of operation are posted on the building doors. Southern's website has established hours that SSConnect is open to speak with an advisor or other resources. The website also provides links for the admission process, testing, financial aid, the business office and more.**
- AAP identifies and addresses actions, policies, and structures within its operation that perpetuate systems of privilege and oppression.
 - Advisors often reach out to administration for problems concerning course schedule, and student needs. Many of our advisors are on institutional committees that address policies and the need for change and improvements. Southern's service area encompasses a large amount of population heavily impacted by economic downturns for several decades as well as the long-term effects of the opioid crisis. The lives of these students and their families are largely shaped by their access to financial resources such as those offered federal and state financial aid programs. Southern's advisors direct students to the availability of these resources and help them secure funding from various resources to aid in books, transportation, and housing, when available.

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

Justification for 5.2 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

5.3 Advocating for Access, Equity, Diversity, and Inclusion

All statements below refer to the Affirmative Action statement on the third page of the 2020-2021 catalog

- **Advisors attend meetings and trainings/professional development annually to keep abreast of current updates concerning their areas. Governance days are required (4 times a year) where advisors attend committee meetings and attend professional development.**
- AAP advocates for accessible facilities and resources and addresses issues that impede access.
- Southern follows federal guidelines, as defined in ADA compliance policies as well as Section 504, to insure access to physical and online resources. Evidence is housed in the office of Disability Services and offices of Campus Directors.s
- AAP advocates for inclusion, multiculturalism, and social justice within the institution.
- Southern has participated in multicultural/diversity awareness workshops. The college offers Diversity month events, through speakers, plays, and information promotions. Evidence is housed in office of the Student Success Center Coordinator.
- AAP enacts culturally responsive, inclusive, respectful, and equitable practices in the provision of services.
- All statements below refer to the Affirmative Action statement on the third page of the 2020-2021 catalog
- AAP develops plans for ongoing professional development on cultural competence and workplace inclusion.
 - HR provides professional development during governance days
 - Governance Day Agenda's reflect professional development

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

Justification for 5.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

5.4 Implementing Access, Equity, Diversity, and Inclusion

- AAP establishes goals for access, equity, diversity, and inclusion. **No goals have been established**
- SEMP
- Student Success Committee Minutes
- AAP addresses the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices.
 - Veterans Event
 - Advising material
 - Marketing for diversity
 - Diversity Event
 - Promotional items
- AAP ensures that personnel are trained in diversity, equity, access, and inclusion and are held accountable for applying the training to its work.
 - College’s Diversity Awareness Activities
 - Governance Day trainings (four times a year)
 - Advisors participate in our Student Success Summit annually
- AAP has an established protocol for, and fosters expectations of, bias incident reporting.
 - AAP has established procedures for students identifying as having a disability
 - veteran students
 - Title IX issues
 - Clery Act
 - Jamie’s Law and bias incident reporting.
- Personnel within AAP cultivate understanding of identity, culture, self-expression, and heritage.
 - Diversity Events
 - Marketing for diversity
- Personnel within AAP promote respect for commonalities and differences among people within their historical and cultural contexts.
 - Advising program participate in events that seek to educate, promote diversity and respect of differences in people.
 - Diversity Events
 - Trainings and conferences
 - Title IX training
- When educational and/or workplace accommodations are requested, AAP provides individuals with an interactive process to determine reasonable accommodations.
 - Advisors are trained to provide referral resources to students who self-identify as having a disability and the need for accommodations. Southern has an Office of Disability Services that coordinates requests for student accommodations.
 - Information is located in the 2020-2021 catalog page 45
 - Employee Handbook

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

Justification for 5.4 Rating:

Group agreed upon a rating of 1. Although some criteria were met, the Academic Advising needs to develop a mission statement and goals.

Overview Questions:

1. How does AAP ensure constituents experience a welcoming, accessible, and inclusive environment that is equitable and free from harassment?
Southern follows federal guidelines to insure accessible accommodations are available to our students. Southern encourages diversity and its awareness through events, speakers, plays, etc. to promote a welcoming atmosphere for all.
2. How does AAP identify barriers to and advocate for access, equity, diversity, and inclusion?
In regards to accessible accommodations, the Office of Disability Services discusses with each identified student their barriers to education to develop workable solutions for educational goals. The Chief Student Services Officer address the student population through meetings (such as New Student Orientation) as well as email communication to make his office open to any commentary regarding diversity and inclusion.
3. How does AAP address imbalances in participation among selected populations of students? In the past, identified population imbalances in programs were addressed using advertising to promote programs to genders underrepresented in their student population.
4. How does AAP address imbalances in staffing patterns among selected populations of program personnel?
DNA
5. How does AAP ensure cultural competence of its personnel to foster inclusion in the program?
DNA

Part 6. LEADERSHIP, MANAGEMENT, AND SUPERVISION

Suggested Evidence and Documentation for Part 6:

1. Periodic reports, contracts, and personnel memos
2. Annual reports by program leaders
3. Program leader resumes, including additional professional involvement
4. Strategic and operating plans
5. Needs assessment of program constituents

6.1 Leadership

- Academic Advising Programs (AAP) leaders model ethical behavior and demonstrate alignment with institutional mission, goals, and ethical practices.
 - State Code of Ethics
 - Disclaimer on Recruitment Materials
 - Annual Performance Evaluations
- AAP leaders provide management and supervision as well as lead strategic planning and program advancement.
 - Annual Performance Evaluations
 - Unit Meeting Agenda and Minutes
 - Department Meeting Agenda and Minutes
 - SEMP Document
 - Strategic Plan Document
 - Strategic Planning Agenda and Minutes
 - Organizational Chart
 - Governance Committee Memberships
- AAP leaders create a vision for the functional area.
 - Unit Meeting Agenda and Minutes
 - Department Meeting Agenda and Minutes
 - Monthly Reports
- AAP leaders communicate goals.
 - Unit Meeting Agenda and Minutes
 - Department Meeting Agenda and Minutes
 - Monthly reports
 - Annual Performance Evaluations
 - SEMP document
- AAP leaders model and expect commitment.

- Professional Development
- Committee Memberships
- Unit Leader Resume in HR
- Department Leader Resume in HR
- AAP leaders build teams, coalitions, and alliances.
 - Workshop and Event Calendar
 - Unit Meeting Agenda and Minutes
 - Food Bank, Food Pantry, Coat Drive Flyers
 - CAS Documentation
- AAP leaders influence others to contribute to the effectiveness and success of the unit.
 - Unit Meeting Agenda and Minutes
 - Department Meeting Agenda and Minutes
 - NSO Agenda
 - Distribution of Projects via Email
 - CAS Documentation
- AAP leaders advance diversity, equity, access, and inclusion goals in the workplace.
 - WV Code of Ethics
 - EOE disclaimer
 - SCP on Website
 - Annual Performance Evaluations
- AAP leaders incorporate data and information in decision making.
 - SEMP
 - Director Meeting Agenda and Minutes
 - Department Meeting Agenda and Minutes
- AAP leaders develop a risk management plan for the organization.
 - Unit follows College's Risk Management Plan
 - SCP Policies on Southern website
- AAP leaders incorporate sustainable practices in the design of programs, services, and facilities.
 - Admission Pros
 - Call Logs
 - SSConnect Logs
 - Email
- AAP leaders develop and empower new leaders from within the organization.
 - Governance Day Agenda
 - Job Postings
 - Organizational Chart
 - Governance Day Committee Memberships
- AAP leaders collaborate with colleagues and departments across the institution.
 - Unit Meeting Agenda and Minutes
 - Director Meeting Agenda and Minutes
 - College Tours Agenda
 - Governance Day Committee Memberships
- AAP leaders adhere to organizational constraints.
 - Unit Budget
 - Department Budgets
 - Organization Chart
 - Employee Handbook
 - SCP Policies on Website
 - AAP leaders advocate for and actively promote the functional area's mission and goals. No missions or goal established for the unit
 - SEMP Document
 - Social Media Posts
 - Student Services Summit Agenda
 - Assists with HS Visits/College Visits/College Tours

- AAP leaders communicate with constituents about current issues affecting the profession.
 - Directors Meeting Agenda and Minutes
 - Governance Day Committee Memberships
- AAP leaders identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement.
 - Department Meeting Agenda and Minutes
 - SEMP Document
 - Student Success Advisor Committee Agenda and Minutes
- AAP leaders facilitate discussion and decisions regarding program advancement.
 - Unit Meeting Agenda and Minutes
 - Department Meeting Agenda and Minutes
 - Student Success Committee Agenda and Minutes
 - Directors Meeting Agenda and Minutes
- AAP leaders advocate for representation in strategic planning processes at departmental, divisional, and institutional levels.
 - Strategic Planning Committee Membership
 - Strategic Planning Agenda and Minutes
 - SEMP Committee Membership
 - Student Success Committee Membership
 - Student Success Committee Agenda and Minutes
 - Department Agenda and Minutes

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

Justification for 6.1 Rating:

Group agreed upon a rating of 1. Although some criteria were met, the Academic Advising needs to develop a mission statement, goals, objectives, and outcomes.

6.2 Management

- AAP managers are empowered to demonstrate effective management.
 - Budgets in BANNER
 - KRONOS approvals
 - Annual Performance Evaluations
 - Directors' meeting minutes
- AAP managers plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources
 - Directors' meeting minutes
 - Budgets in BANNER
 - KRONOS approvals
 - Annual Performance Evaluations
- AAP managers develop plans for scholarship, leadership, and service to the institution and the profession.
 - NSLS E-Board Agendas/Minutes
 - WV Invests Volunteers
 - Food Pantry
 - Work study Orientation Materials
- AAP managers engage diverse perspectives from within and outside the unit to inform decision making.
 - SCP policies and processes
 - SS Summit Agenda
 - Student Success Committee Agenda and Minutes

DNA	IE	0	1	2	Rating:

Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	2
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Justification for 6.2 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

6.3 Supervision Yes to the following. Supervisors conducting yearly employee evaluations and give personal performance feedback. Supervisors require yearly reports on each area. Supervisor compiles a yearly report to Chief Student Services Officer.

- AAP supervisors incorporate institutional policies and procedures in the development of strategies for recruitment, selection, professional development, supervision, performance planning, succession planning, evaluation, recognition, and reward of personnel.
 - HR Orientation
 - Employee Handbook
 - Agenda for New Employee Trainings
 - SCPs (Policies)
- AAP supervisors consult with institutional HR personnel to access and receive education and training that influence successful performance of personnel.
 - Email communications between UAPS and HR
 - Governance Day Agendas and Trainings
 - SS Summit Agendas and Trainings
- AAP supervisors provide feedback on personnel performance.
 - Annual Performance Reviews
 - Emails between Student Success Advisor employees
- AAP supervisors identify and resolve workplace conflict.
 - Annual Performance Reviews
- AAP supervisors follow institutional policies for addressing complaints.
 - College Catalog
 - SCPs
 1. SCP-4001 Student Consumer Protection Policy
 2. SCP-4770 Student Rights and Responsibilities
 3. Student Grievance Procedure
 4. Student Handbook
 5. AH/Nursing Student Handbooks
- AAP supervisors provide reports and activity updates to management.
 - Directors' Meetings Agendas/Minutes
 - Director of Admissions Monthly Reports
 - AAP Annual Report to CSSO
 - Student Services Annual Report
- AAP supervisors work with personnel to develop plans for scholarship, leadership, and service to the profession and institution.
 - Trainings
 - SS Summit
 - Conference Attendance
 1. WVACRAO Membership
 2. CSSO WVACRAO Keynote Speaker 2021
 3. WVASPA/WV TRIO Conference Attendance
 4. Student Success Summit
 - Conference Presentation on SSConnect
- AAP supervisors provide supervision and support so that personnel may complete assigned tasks.
 - Admissions Staff meetings
 - Email correspondence between staff members

- Governance Day professional development
- EXCEL class

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

Justification for 6.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

6.4 Strategic Planning Through the Strategic Planning Committee, SEMP

- Strategic planning processes facilitate continuous development, implementation, assessment, and evaluation of program effectiveness and goal attainment congruent with institutional mission and ongoing planning effort.
 - SEMP Document and updates
 - Strategic Plan Document and updates
- Strategic planning processes support ongoing assessment activities that improve student learning, development, and success.
 - SEMP Document and updates
 - Strategic Plan Document and updates
 - Student Surveys
 - NSO Evaluations
- Strategic planning processes utilize philosophies, principles, and values that guide the work of AAP.
 - SEMP document and updates
 - Strategic Plan document and updates
 - College Mission and Vision on Southern website
- Strategic planning processes promote environments that provide opportunities for student learning, development, and success.
 - SEMP Document and updates
 - Strategic Plan Document and updates
 - NSO Evaluations
 - Admission Welcome Packets
 - SSConnect Logs
- Strategic planning processes develop, adapt, and improve programs and services in response to the needs of changing environments, populations served, and evolving institutional priorities.
 - SEMP Document and updates
 - Strategic Plan Document and updates
 - SSConnect Logs
- Strategic planning processes engage many diverse constituents and perspectives from within and outside the unit to inform the development and implementation of the planning process.
 - SEMP Document and updates
 - Strategic Plan Document and updates
 - Student Success Committee Membership
 - Strategic Planning Committee Membership
- Strategic planning processes result in a vision and mission that drive short- and long-term planning.
 - SEMP Document and updates
 - Strategic Plan Document and updates
 - Student Success Committee and Strategic Planning Committee minutes
- Strategic planning processes set goals and objectives based on the needs of the population served, intended student learning and development outcomes, and program outcomes.
 - SEMP Document and updates
 - Strategic Plan Document and updates

- o Student Success Committee and Strategic Planning Committee minutes

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

Justification for 6.4 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. To what extent are AAP leader(s) viewed as and held responsible for advancing the departmental mission? *AAP leaders demonstrate 100% guidance, leadership, and direction in meeting the college's mission by being accessible to all Student Services employees.*
2. What opportunities and barriers are present for AAP leader(s) as they seek to fulfill the functional area mission? *Currently no mission statement for Advising only.*
3. How do AAP leaders advance the organization? *With monthly meetings, personal meetings, monthly reports to be informed of the activities of the unit.*
4. How do AAP leaders encourage collaboration across the institution? *By discussing common goals in the unit meetings and ways to obtain them while facilitating expectations in a positive format.*
5. How are AAP leaders accountable for their performance? *Yearly evaluations and advising data updates.*
6. How have AAP leaders empowered personnel and engaged stakeholders? *By working with the Student Services Team to engage in communication and share positive outcomes. Our stakeholders (students) are funneled through advisors to obtain maximum educational success with the guidance of AAP leaders.*

Part 7. HUMAN RESOURCES

Suggested Evidence and Documentation for Part 7:

1. Operating policy and procedure manuals/statements for program and institution
2. Organizational chart(s)
3. Personnel handbook, position descriptions (including student employees, volunteers, and graduate students), expectations, and performance review templates
4. Annual reports, including data on student utilization and staff-to-student ratios
5. Association or benchmark reports on operations and staffing
6. Student and staff personnel profiles or resumes, including demographic characteristics, educational background, and previous experience
7. Reports on personnel, including student employees and volunteers, employment experiences
8. Training agendas and schedules
9. Statement of staffing philosophy
10. Professional development activities
11. Minutes from staff meetings at which human resources related standards were discussed and addressed

7.1 Staffing and Support

- Academic Advising Programs (AAP) identifies the level of staffing necessary to achieve its mission and goals.
 - o Websites and org charts of sister institutions
 - o Organizational Chart
- AAP is staffed by individuals qualified to accomplish its mission and goals.
 - o HR files of employees
- AAP has access to technical and support personnel to accomplish its mission.
 - o Organizational Chart
- Advisors have an opportunity to determine and articulate the need for administrative, technological, and executive support of advising.
 - o Advisors have an opportunity to speak out and/or request support of any kind during unit meetings or committee meetings.

- The president of the college also has an open-door policy where any employee can request to meet with her.
- Student Success Summit
- AAP professional personnel either hold an earned graduate or professional degree in a field relevant to their position or possess an appropriate combination of educational credentials and related work experience.
 - Academic Advisor credentials are located in HR Department
 - HR files of employees

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

Justification for 7.1 Rating:

Group agreed upon a rating of 1. Although some criteria were met, the Academic Advising needs to develop a mission statement and goals.

7.2 Employment Practices

- AAP establishes procedures and expectations for personnel recruitment, selection, training, supervision, performance, and evaluation.
 - HR files
 - Performance Evaluations
- AAP leaders ensure that all personnel have written position descriptions.
 - HR files
 - Position Information Questionnaire (PIQ)
- AAP leaders regularly review position descriptions.
 - Performance Evaluations
- AAP leaders maintain copies of up-to-date resumes/curriculum vitae for all currently employed personnel.
 - HR files
- AAP leaders implement recruitment and selection/hiring strategies that demonstrate a deliberate effort to diversify the workforce.
 - HR files
 - Posting locations (HR files)
 - Diversity policy
 - ADA and EOE statements
- AAP leaders develop promotion practices that are fair, inclusive, proactive, and non-discriminatory.
 - HR files
 - Posting locations (HR files)
 - Diversity policy
 - ADA and EOE disclaimer statements
- AAP leaders, in partnership with personnel and aligned with institutional policies, establish work arrangements that achieve department objectives.
 - Kronos
- Personnel have written performance goals, objectives, and outcomes for each performance cycle and are used to plan, review, and evaluate work and performance.
 - Annual Performance reviews
- Performance plans are updated regularly and reflect changes during the performance cycle.
 - Annual performance reviews
- 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 AAP.
 - Annual performance reviews

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

Justification for 7.2 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

7.3 Personnel Training and Development

- AAP personnel receive training when hired and professional development throughout their employment.
 - Yes, HR has a new employee orientation.
 - Student Services plan for training in the department for the new employee, and all employees attend governance day trainings 4 times a year.
 - Employee are encouraged to attend professional development trainings/conferences yearly. **The recent Covid-19 outbreak has limited some of these opportunities**
- AAP personnel engage in continuing professional development activities.
 - Governance Day Agenda
 - SS Professional Development lists
- AAP provides personnel with appropriate professional development opportunities or resources.
 - Governance Day Agenda
 - SS Professional Development lists
 - Purchase Orders and Travel Authorizations
- AAP supports learning and professional development for those involved in delivery of academic advising.
 - Governance Day Agenda
 - Conferences annually
- AAP personnel have access to resources and receive specific training on policies, procedures, and laws related to the programs and services they support.
 - There are some resources in the campus libraries as well as the Academic Catalog
- AAP personnel have access to resources and receive specific training on policies, procedures, and laws related to privacy and confidentiality.
 - FERPA training
 - Governance Day Agenda
 - SS Professional Development lists
 - Purchase Orders and Travel Authorizations
- AAP personnel have access to resources and receive specific training on policies, procedures, and laws related to student records and sensitive institutional information. **Yes**
 - FERPA
 - Governance Day Agenda
 - SS Professional Development lists
 - Purchase Orders and Travel Authorizations
- AAP personnel have access to resources and receive specific training on policies, procedures, and laws related to systems and technologies necessary to perform their assigned responsibilities. **Yes**
 - BANNER trainings (Governance Day)
 - Governance Day Agenda
 - SS Professional Development lists
 - Purchase Orders and Travel Authorizations
 - Job descriptions
- AAP personnel have access to resources and receive specific training on policies, procedures, and laws related to sexual misconduct, harassment, and workplace violence. **Yes**
 - Title IX trainings
 - Information posted on campuses and college website
 - Governance Day Agenda
 - SS Professional Development lists
 - Purchase Orders and Travel Authorizations

- New Employee Orientation/HR Handbook
- AAP personnel are trained on how to recognize and address systems of oppression in the workplace and facilitate a welcoming, inclusive work environment. **Yes**
 - Governance Day Agenda
 - SS Professional Development lists
 - Purchase Orders and Travel Authorizations
- AAP personnel are trained on 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.
 - **Yes, supervisor’s door is always open for discussion**
- AAP provides advisors with training and development for making effective referrals to both on- and off-campus services and agencies. **Yes**
 - **We have campus PRSS representative. We have Voc Rehab representation on Williamson Campus**
- AAP leaders ensure that personnel are knowledgeable about and trained in safety, emergency procedures, identifying threatening conduct or behavior, crisis prevention, response, and reporting. **Yes**
 - Receive a monthly safety report from the Director of Emergency Management
 - Southern has a crisis management team

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

Justification for 7.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

7.4 Paraprofessional Personnel Student Services support personnel support all paraprofessional employees

- Paraprofessionals working in AAP are enrolled in an appropriate field of study and/or have relevant experience.
- Paraprofessionals working in AAP are carefully selected, trained, supervised, and evaluated by personnel who possess applicable educational credentials, work experience, and have supervisory experience.
 - Work study orientation materials
- AAP leaders accommodate the dual roles paraprofessionals may have as both student and employee.
 - Work study orientation materials
- AAP leaders adhere to parameters of paraprofessionals’ job descriptions.
 - Work study orientation materials
 - Work study job descriptions
- AAP leaders articulate intended student learning and development outcomes in student employee job descriptions.
 - Work study orientation materials
 - Work study job descriptions
- AAP leaders adhere to agree-upon work hours and schedules.
 - Kronos
- AAP leaders offer flexible scheduling options as needed by the student employee.
 - Kronos
 - Email communications
- AAP leaders work with paraprofessionals to determine suitable compensation if circumstances necessitate additional hours.
 - DNA

DNA	IE	0	1	2	Rating:
Does Not Apply	Insufficient Evidence/	Does Not Meet	Partly Meets	Meets	2

	Unable to Rate				
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Justification for 7.4 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. In what ways are personnel qualifications examined, performance evaluated, and recognition provided for exemplary performance? Personnel qualifications are evaluated when hired and noted in the personnel file when additional credentials are obtained. Exemplary performance is noted in meetings and is up for nominations for the Savas Kostas award yearly.
2. How are professional development efforts designed, how do they support achievement of the AAP mission, and how do they prepare and educate staff on relevant information?
Professional development activities are based on needs assessment of the Student Services Unit as well as recommendations to AAP leaders. AAP leaders support all incoming request for development and implemented according to need. Staff are educated through trainings, summits, and professional development.
3. How has the staffing model been developed to ensure successful functional area operations? Through a well-developed organizational chart with noted directional leadership.
4. How does AAP engage graduate interns and assistants, student employees, and volunteers? Through the Financial Aid governmental workstudy program.

Part 8. COLLABORATION AND COMMUNICATION

Suggested Evidence and Documentation for Part 8:

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 constituents

8.1 Collaboration

- Academic Advising Programs (AAP) personnel collaborate and consult with institutional leaders, faculty, individuals, and departments essential to the success of the program.
 - Yes, Committee Agenda and Meeting Minutes
- AAP collaborates with individuals, groups, communities, and organizations.
 - Yes, advisors collaborate with faculty, staff, different student groups, and organizations to improve program success
 - Business after business
- AAP collaborates to garner support and resources.
 - Committee Agenda and Meeting Minutes
 - Director meeting minutes
 - Budget allocations
 - Purchase orders
 - Calendars of employees
 - Marketing materials
- AAP collaborates to meet the needs of students, designated clients, and other constituents. Yes
 - SSConnect which allows us to meet various student needs in a virtual setting
 - Committee Agenda and Meeting Minutes
 - Director meeting minutes
 - Budget allocations
 - Christmas parade float
 - Purchase orders
 - Calendars of employees
 - Marketing materials

- AAP collaborates to achieve program and student outcomes. *Yes*
 - Monthly Advisor Meetings
 - Weekly Meetings
 - Individual Meetings
- AAP collaborates to engage diverse populations to enrich the educational environment. *Yes*
 - Diversity 2021 Grant activities
 - We have recently viewed live performances (One Noble Journey: A Box Called Freedom and Dar He) on SSConnect dealing with diversity.
 - Discussion was encouraged after performances through a “talk back” session with Mike Wiley.
 - We celebrated Diversity Month with informational pamphlets distributed around campuses
 - Committee Agenda and Meeting Minutes
 - Director meeting minutes
 - Budget allocations
 - Purchase orders
 - Calendars of employees
 - Marketing materials
- AAP collaborates to disseminate information about programs and services. *Yes*
 - Information (pamphlets) is distributed on each campus
 - Marketing materials
 - Southern website
- AAP collaborates to solve problems pertinent to the student population, designated clients, or the organization. *Yes*
 - Student services provides collaborations through inner (Faculty, financial aid, records department, and Business Office) departments to assist in meeting student needs/concerns.
- AAP refers students, designated clients, and other constituents to appropriate resources when assistance is needed beyond the functional area’s scope. *Yes*
 - Advisors keep a list of resources on hand for referral purposes
 - Disability Services
 - Peer Recovery Support Specialist (PRSS) for mental health and referrals

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

Justification for 8.1 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

8.2 Communication

- AAP provides relevant information, services, and resources that explain its mission and goals.
 - No mission statement or goals
- AAP develops and implements strategies for outreach and promotion.
 - Yes, Monthly Unit Meetings
 - Directors agenda meetings and minutes
 - Works with media for marketing
- AAP promotional and descriptive information is accurate and free of deception and misrepresentation.
 - Yes, See Social Media and Website
 - Marketing materials

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

Justification for 8.2 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

8.3 Procedures and Guidelines

- AAP has and follows procedures and guidelines consistent with institutional policy for communicating with the media. *Yes*
 - SCP-1002 Official College Spokesperson and Media Releases
 - Media Request form to adhere to policy
- AAP has and follows procedures and guidelines consistent with institutional policy for distributing information through print, broadcast, and online sources
 - Yes, there is Media Request Form that must be submitted to supervisor for approval
 - SCP-1002 Official College Spokesperson and Media Releases
 - Marketing materials
 - Information Packets
 - No institutional policy
- AAP has and follows procedures and guidelines consistent with institutional policy for the use of social media.
 - Social media and marketing content
 - No official procedures or guidelines
 - Email communications
- AAP has and follows procedures and guidelines consistent with institutional policy for contracting with external organizations for delivery of programs and services. *Yes*
 - MOU
 - Finance paperwork
- AAP has and follows procedures and guidelines consistent with institutional policy for developing relationships with donors.
 - DNA
- AAP has and follows procedures and guidelines consistent with institutional policy for dissemination of relevant information in a timely manner to all constituents. *Yes*
 - SCP-1002 Official College Spokesperson and Media Releases

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

Justification for 8.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. With which relevant individuals, campus offices, and external agencies must AAP maintain effective relationships? Why are these relationships important, and how are they mutually beneficial?
The relevant individuals are each member of the Student Services team from Financial Aid, Advising, Career Services, Disability Services, and grant related positions. Student Services employees work with external agencies such as Coalfield Development, DHHR, Vocational Rehabilitation and community-based services to foster relationships of referrals from these agencies for optimal student success. The relationships between employees and external agencies are vital for the success of our students to promote peak productivity for the overall success of the institution.
2. How does AAP maintain effective relationships with program constituents?
Each member of the Student Services Staff is an important part of promoting effectiveness, success, and work together to accomplish the goals and mission of the institution. AAP leaders promote the accomplishments of each individual within and nurture a strong working relationship with each.

3. How does AAP assess the effectiveness of its relations with individuals, campus offices, and external agencies?

By identifying strengths and weaknesses of the working team and provide open communication. They assess effectiveness through data and by monitoring individuals and offices within the Student Services Department with accountability.

Part 9. ETHICS, LAW, AND POLICY

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 handbooks
4. Codes of conduct
5. Operating policies and procedures
6. Operating policies and procedures related to human subjects research (i.e., Institutional Review Board)
7. Minutes from meetings during which staff reviewed and discussed ethics
8. Emergency procedures
9. Contracts and memoranda of understanding (MOUs)
10. Copies of related laws and legal obligations

9.1 Ethical Statements

- Academic Advising Programs (AAP) reviews and adopts appropriate standards of ethical practice including those of applicable professional associations.
 - [NACAC Code of Ethics and Professional Practices](#)
 - [WV State Code of Ethics](#)
- AAP has clearly defined and documented ethical statements addressing conflicts of interest, or appearance thereof, by personnel in the performance of their work.
 - [NACAC Code of Ethics and Professional Practices](#)
 - [WV State Code of Ethics](#)
- AAP has clearly defined and documented ethical statements addressing management of institutional funds.
 - [NACAC Code of Ethics and Professional Practices](#)
 - [WV State Code of Ethics](#)
 - [Budgets on S-Drive](#)
- AAP has clearly defined and documented ethical statements addressing acceptance, in gratis, of cash or merchandise in accordance with institutional advancement reporting policies.
 - [NACAC Code of Ethics and Professional Practices](#)
 - [WV State Code of Ethics](#)
- AAP has clearly defined and documented ethical statements addressing research and assessment with human participants or animal subjects.
 - [DNA](#)
- AAP has clearly defined and documented ethical statements addressing confidentiality of research and assessment data.
 - [NACAC Code of Ethics and Professional Practices](#)
 - [WV State Code of Ethics](#)
 - [FERPA](#)
- AAP has clearly defined and documented ethical statements addressing personnel, student, and other designated clients' rights and responsibilities.
 - [NACAC Code of Ethics and Professional Practices](#)
 - [WV State Code of Ethics](#)
 - [SCP-4770 Student Rights and Responsibilities](#)
- AAP has clearly defined and documented ethical statements addressing disclosure of information in student, personnel, and other designated clients' records.
 - [FERPA](#)
 - [WV State Code of Ethics](#)
 - [NACAC Code of Ethics and Professional Practices](#)

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

Justification for 9.1 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

9.2 Ethical Practice- Yes to all of the following statements

- AAP personnel employ ethical decision making in the performance of their duties.
 - Annual Performance Evaluations
 - SS Unit meetings
 - Director meetings
 - Student Advisor Department meetings
- AAP personnel recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation.
 - NACAC Code of Ethics and Professional Practices
 - WV State Code of Ethics
- AAP personnel are honest, objective, and impartial in their interactions.
 - NACAC Code of Ethics and Professional Practices
 - WV State Code of Ethics
- AAP demonstrates responsibility for sound and ethical assessment, research, evaluation, and program review.
 - NACAC Code of Ethics and Professional Practices
 - WV State Code of Ethics
 - CAS Standards Documentation
- AAP encourages and provides a forum for personnel to address and report unethical behavior.
 - WV State Code of Ethics
 - WV Public Employees Grievance Board
 - Complaint Form
- AAP addresses issues surrounding scholarly integrity.
 - N/A
- AAP personnel perform duties within the scope of their position, training, expertise, and competence.
 - Employee HR files
- AAP personnel make referrals when issues presented exceed the scope of their position.
 - Admissions Department Meeting minutes
 - Director’s meeting minutes
- AAP personnel recognize their responsibility to ensure the privileged, private, or confidential nature of advisors’ interactions with students is not sacrificed. **Yes**
 - FERPA

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

Justification for 9.2 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

9.3 Legal Obligations and Responsibilities – Yes to all of the following statements

- AAP complies with laws, regulations, policies, and procedures that relate to its respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole.
 - Policies on website

- FERPA
- Jamie’s Law
- Title IX
- Clery Act
- VAWA
- Advisors are knowledgeable about and sensitive to laws, regulations, policies, and procedures, particularly those governing harassment, use of technology, personal relationships with students, privacy of student information, non-discrimination, and equal opportunity policies. *Yes*
- In accordance with governmental laws, institutional policy, and standards of good practice, AAP personnel who are concerned about student’s well-being ensure that they are referred to appropriate resources.
 - *Directors’ Meeting Minutes*
 - *Training with new employees*
- AAP has a process for accessing legal advice needed for personnel to carry out their assigned responsibilities.
 - *Advising Department follows the colleges grievances procedure*
 - *Risk Management*
 - *Bowles-Rice*
 - *Vendor Payments*
 - *Admission Team follow the colleges grievance policy*
- AAP does not discriminate based upon institutional policies, codes, or governmental laws.
 - *ADA, Title IX, EOE statements*
- AAP purchases or obtains permission to use copyrighted materials and instruments. References to copyrighted materials and instruments include appropriate citations.
 - *Social media posts*
 - *Adobe Stock*
 - *Marketing Materials*

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

Justification for 9.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

9.4 Policies and Procedures

- AAP has written policies and procedures on operations, transactions, or tasks that have legal implications.
 - *DNA*
- AAP has and follows a timeline for reviewing policies and procedure. The creation and revision of policies and procedures are informed by available evidence, and policies and procedures that inform the management of higher education.
 - *The institution has a timeline that is sent out to all employees annually*
- AAP has policies and procedures consistent with institutional policy for responding to threats, emergencies, and crisis situations.
 - *The institution has policy that all employees follow and are trained on at least annually*
 - *AAP does not have policies/procedures*
 - *Emergency Management Plan*
 - *Governance Day Agendas*
 - *Safety Newsletters*
 - *Finance and Facilities Governance Committee*
 - *Compliance and Risk Management Committee Minutes*
 - *Compliance and Risk Management Committee Agenda*

DNA	IE	0	1	2	Rating:

Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	2
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Justification for 9.4 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

9.5 Communication of Ethical and Legal Obligations

- AAP educates new personnel to relevant ethical standards, statements of ethical practice, and related institutional policies and procedures.
 - Yes, in HR New Employee Orientation and are given a new Employee handbook
 - WV State Code of Ethics
 - NACAC Code of Ethics and Professional Practices
- AAP informs its users of ethical and legal obligations and limitations emanating from codes and laws or from licensure requirements.
 - Southern website
- AAP personnel provide students, designated clients, and constituents with information about student privacy rights and personnel’s disclosure obligations.
 - Yes, FERPA statement in the college catalog 2021 page 186
 - Annual FERPA disclosure statement from Registrar
- AAP creates ongoing opportunities to explore and examine basic ethical beliefs important to the functional area. Yes
 - Student Advising Department Meeting
 - Agenda and Minutes
 - SS Unit list of professional development
 - Governance Day Agenda
- AAP informs personnel about internal and external governance organizations that affect the functional area.
 - Yes, the Organization Chart
 - Governance handbook
 - WVACRAO Membership
 - ACRAO Membership
 - NACAC Code of Ethics and Professional Practices
- AAP informs personnel about professional liability insurance options and refer them to external sources if the institution does not provide coverage.
 - Yes, employee will consult with HR
 - Risk Management
 - DNA

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

Justification for 9.5 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

9.6 Addressing Harassment and Hostile Environments – Yes for the following statements

- AAP personnel neither participate in nor condone any form of harassment or activity that demeans persons or creates an intimidating, hostile, or offensive environment.
 - Unit Supervisor Title IX Coordinator
 - HR New Employee Orientation
 - Title IX disclaimer
 - Recruitment Materials
 - NSO Agenda

- Clery Report
- Equal Opportunity Employment, Harassment, and Nondiscrimination Policy
- AAP adheres to institutional policies and procedures regarding sexual misconduct, harassment, and workplace violence
 - Equal Opportunity Employment, Harassment, and Nondiscrimination Policy
 - NSO Agenda
 - Clery Report

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

Justification for 9.6 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. What is the AAP 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 AAP?
4. What are the crucial legal, policy and, governance issues faced by AAP, and how are they addressed?
5. How are personnel instructed, advised, or assisted with legal, policy, and governance concerns?
6. How are personnel informed about internal and external governance systems?

Part 10. FINANCIAL RESOURCES

Suggested Evidence and Documentation for Part 10:

1. Budgets and the budget process
 - a. Budget spreadsheets
 - b. Purchase Orders
 - c. Packing slips
 - d. Quotes
 - e. Emails back and forth
 - f. All College budgets on S drive
 - g. Banner Finance online
2. Financial policies and procedures
 - a. SCP-5000 Series on Website
 - b. P-Card use
3. Financial statements and audit reports
 - a. BOG minutes on website
4. Student fee administration and allocation process (if applicable)
 - a. No admission fee
 - b. No fees for applying or registering
5. Financial statements for grants, gifts, and other external resources
 - a. N/A

10.1 Funding

- Academic Advising Programs (AAP) has the funding that is necessary to accomplish its mission and goals.
 - FY2022 budget was appropriate for meeting objectives—Budget spreadsheets on S drive
- AAP determines with administrative leadership what funding is necessary.
 - Yes, completes a budget request form yearly
 - Meeting minutes and agendas
 - Cabinet
 - Director’s Meetings

▪ Admissions Meeting

- Sufficient institutional and financial resources are provided to assist professional development of academic advisors. **Yes**
 - Conference Travel Form
 - Conference Registration

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

Justification for 10.1 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

10.2 Financial Planning

- In establishing and prioritizing funding resources, AAP conducts comprehensive analyses to determine unmet needs of the unit; relevant expenditures; external and internal resources; and impact on students and the institution.
 - NSO Evaluations
 - Advisor’s meeting minutes
 - Assist with (Recruitment/Retention/Completion)
 - Reduced complaints
- AAP uses the budget as a planning tool to reflect commitment to the mission and goals of the functional area and of the institution.
 - Yes, Budget Request form
 - Budget spreadsheets
 - Promotional products
 - Social media (posters, information, etc.)
- AAP 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.
 - Yes, received budget reports from Banner
 - Budget reports are housed in Banner and provide suggested evidence to answer the question.
 - Budget spreadsheets
 - Purchase orders
 - Budget Finance online

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

Justification for 10.2 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

10.3 Financial Management

- AAP manages funds in accordance with established governmental laws and institutional policies, procedures, and guidelines.
 - Series 5000
- AAP demonstrates responsible stewardship and use of fiscal resources.
 - End of year balances
 - Budget spreadsheets
 - Banner Finance online

- AAP has procedures and guidelines consistent with institutional policy for applying to and managing funds from external resources.
 - None, advising department follows the procedures and guidelines for managing funds. N/A
- AAP is provided with the institutional and financial resources to assist with professional development of personnel. Yes
 - Resources dedicated to pd is dispensed by departmental budget.
 - Governance Day Agenda
 - Governance Day logs
 - Student Services Summit Agenda
 - Emails
- AAP procurement procedures are consistent with institutional policies.
 - Series 5000
 - Purchase orders
 - Sign Now
 - Receiving documentation
- AAP procurement procedures ensure that purchases comply with laws and codes for usability and access.
 - Series 5000
- AAP procurement procedures ensure that the institution receives value for the funds spent.
 - Series 5000
 - Receiving documentation
- AAP procurement procedures consider information available for comparing the ethical and environmental impact of products and services purchased.
 - WV Code of Ethics
 - Purchase orders

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

Justification for 10.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. What is the funding strategy for AAP, and why is this the most appropriate approach?
 - a. Strategic Plan
 - b. Transparent budgets and process
2. How does AAP ensure fiscal responsibility, responsible stewardship, and cost-effectiveness?
 - a. Banner
 - b. Purchase orders
3. If applicable, how does AAP go about increasing financial resources?
4. What structures exist to ensure compliance and responsible stewardship, management, and use of fiscal resources? How are limitations or gaps in these structures mitigated?
 - a. Series 5000

Part 11. TECHNOLOGY

Suggested Evidence and Documentation for Part 11:

1. Information technology policies and procedures
 - The information is kept in the office of the Chief Information Officer (Tom Cook), and can be found on the Southern website southernwv.edu. Questions 2-6 bear the same answers.
2. Equipment and hardware inventory and replacement cycle
3. Software inventory and update cycle
4. Back-up plan and systems failure emergency protocol(s)

5. Contracts, manuals, and user guides for internet, telephone, database, application, and other systems vendors
6. Technology needs assessment; usage and access data

11.1 Systems Management

- Academic Advising Programs (AAP) has current technology to support the achievement of its mission and goals.
 - Yes, advising does not have a mission or goals. Every advisor has an office phone and laptop/desktop computer with internet access to carry out the daily advising functions.
 - Every advisor also has a southern.edu email address and access to various software/hardware necessary to perform essential tasks (ie. Zoom, Adobe, Banner, Microsoft office, printer etc.)
 - Helpdesk (phone and email)
 - Signal Vine Texting App
 - IT hardware lists
 - Office Software
 - BANNER
 - Admission Pros
 - Argos
 - Outlook (create PowerPoint, surveys, etc.)
- AAP incorporates accessibility features into technology-based programs and services.
 - All advising services available in person are provided virtually using SSConnect (zoom)
 - Tutoring and workshops are available virtually
 - Yes, The IT departments ensures this process is correct
 - Accessibility Report to WVDHHR
- AAP ensures that personnel and constituents have access to training and support for technology use.
 - Yes, BANNER and Admission Pro’s training
 - EXCEL training Class Roster
 - SS Professional Development List
- AAP backs up data on a cycle established in partnership with the institution’s information technology department.
 - BANNER, Argos, and Admission Pros backed up by professionals
- AAP implements a replacement plan and cycle for all technology with attention to sustainability.
 - The technology department maintains the technology cycle plan for advising.

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

Justification for 11.1 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

11.2 User Engagement

- AAP uses technology to enhance the delivery of programs and services for all constituents. **Yes**
 - Every advisor utilizes some form of technology to provide services such as office phone and laptop/desktop computer. Various software/hardware are used to perform essential tasks (ie. Zoom, Adobe, Banner, DegreeWorks, Microsoft office, printer etc.)
 - Online Academic catalog is used during advising and is located on the Sothern website
 - Course availability is located online as well (Course Schedules)
 - Online tutoring and workshops are also available to students.
- AAP employs appropriate and accessible technology to support the delivery of advising information. **Yes**
 - All advising services available in person are provided virtually using SSConnect (Zoom) also.
 - Resources for advising are located online (Academic Catalog, Course Schedule) and advisors have access to Banner to review student information and advise students.
- AAP ensures that online and technology-assisted advising includes appropriate processes for obtaining approvals, consultations, and referrals. **Yes**

- All online advising follows the same process for obtaining approvals, consultations, and referrals (such as emailing/calling to obtain required approvals and/or connecting the student with consultations and referrals).
- AAP ensures that technology addresses constituent needs. *Yes*
 - BANNER
 - SSConnect Employee Surveys
 - SSConnect Student Surveys
 - Recruitment Emails
 - Marketing Materials
 - Printed Posters
 - TV and Social Media Content
- AAP employs technologies that facilitate user interaction.
 - Communication logs
 - SSConnect logs
 - Student Surveys
 - Email
- AAP provides secure remote access. *Yes*
 - Advising provides the opportunity for students to connect to gain services. The secure remote access is provided by the IT department.

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

Justification for 11.2 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

11.3 Compliance and Information Security

- AAP has policies on the appropriate use of technology that are clear and easily accessible.
 - None, however the institution provided the policy located on the website
 - SCP list on Southern website
- AAP complies with governmental codes and laws and with institutional technology policies and procedures.
 - SCP list on Southern website
 - FERPA
- AAP provides a secure platform when conducting financial transactions, in accordance with industry best practices.
 - BANNER/MySouthern documentation

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

Justification for 11.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

11.4 Communication

- AAP has updated websites that provide information to all constituents in accessible formats.
 - Southern website
- AAP uses technology that allows users to communicate sensitive information in a secure format.
 - IT protocols for privacy
 - SSConnect/Zoom documentation
 - Email

- AAP evaluates relevant social media platforms and techniques for communication, and implement those that best meet constituent needs.
 - Yes, however, social media is implemented by the communications and marketing department
- AAP evaluates multiple modes of communications including, but not limited to, phone, text, and web chat.
 - Yes, along with SSConnect and is ongoing for making improvements

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

Justification for 11.4 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

1. How is technology inventoried, maintained, and updated? *DNA*
2. How is information security maintained?
3. How does AAP ensure that relevant technology is available for all who are served by the program?
4. How does AAP use technology to enhance the delivery of programs, resources, services, and overall operations?
 - All advising services available in person are provided virtually using SSConnect (Zoom) a
 - Resources for advising are located online (Academic Catalog, Course Schedule)
 - Advisors have access to Banner to review student information and to register students
 - Tutoring and workshops are available online (zoom, TEAMS)
5. How does AAP use technology to enhance the delivery of programs, resources, services, and overall operation?
6. How does AAP utilize technology to foster its learning, development, and success outcomes?

Part 12. FACILITIES AND INFRASTRUCTURE

Suggested Evidence and Documentation for Part 12:

1. Facilities and equipment inventory and usage data
2. Facilities audit and plans for renovations, additions, and enhancements
3. Facilities use agreements or memoranda of understanding (MOUs)
4. Capital projects, if applicable
5. Structural designs or maps to show space allocation
6. Images of the space

12.1 Design of Facilities

- Academic Advising Programs (AAP) facilities are located in suitable spaces designed to support the AAP mission and goals.
 - Yes, however we do not have a mission or goals
- AAP facilities are intentionally designed to engage various constituents, promote learning, and provide accessible and safe spaces.
 - Facilities survey
 - Clery reports
 - WVDHHR Accessibility Report
- AAP facilities are designed to protect the security and privacy of records and ensure the confidentiality of sensitive information and conversations.
 - Campus Master Plan
 - Clery Reports
- AAP incorporates universal design principles.
 - DNA
- AAP facilities are designed and constructed to be energy-efficient and sustainable.
 - Office spaces are new (building layout)

- o Design and construction are out of UAPS control

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

Justification for 12.1 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

12.2 Work Space **Yes to all of the following**

- AAP personnel have equipped and well-maintained workspaces designed to support their work and responsibilities.
 - o IT hardware inventory
 - o Facilities survey
 - o Employee files in HR
- AAP provides work space that is private and free from visual and auditory distractions.
 - o Private offices on each campus
 - o Office have doors to enable privacy when needed
- AAP personnel are able to safeguard the privacy of their work.
 - o All office doors have locks
 - o Employees have filing cabinets
 - o IT documentation on privacy
 - o SCP list on website

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

Justification for 12.2 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

12.3 Equipment Acquisition **Yes, to all of the following**

- When acquiring capital equipment, AAP takes into account expenses related to regular maintenance and life cycle costs.
 - o Purchase Orders
 - o IT maintenance schedules
- AAP incorporates sustainable practices when purchasing equipment.
 - o IT approval on all purchase orders
 - o Grant purchase orders processed by same individual

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

Justification for 12.3 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

12.4 Facilities and Equipment Use - **Yes to all of the following**

- AAP facilities and equipment is inspected on an established cycle and is in compliance with codes, laws, and established practices for accessibility, health, safety, and security.

- Compact Master Plan
- Safety Reports
- IT Inventory Documentation
- Finance Inventory Records
- Facilities Inspection Reports
 - Fire Marshall Visits
- AAP promptly reports broken, malfunctioning, defective, unusable, or faulty facilities and equipment to the entity responsible for maintenance.
 - Campus Director Safety Reports
- AAP develops sustainable practices for facilities use.
 - DNA
- AAP assesses the effectiveness of its facilities to ensure they are meeting facilities and equipment goals.
 - AAP lacks mission and goals
- AAP personnel advocate for appropriate, consistent, and fair assignment of facilities and equipment.
 - Budgets
 - Admissions Dept. Meeting Minutes
 - Directors Meetings Minutes

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

Justification for 12.4 Rating:

Group agreed upon a rating of 2. No actions needed-meets criteria.

Overview Questions:

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

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	Group agreed on a rating of 0	Academic advising needs to develop a mission, goals, outcomes and objectives.
2. Program and Services	Group agreed on a rating of 1	Academic advising needs to develop a mission, goals, outcomes and objectives.
3. Student Learning, Development, and Success	Group agreed on a rating of 2	No action needed.
4. Assessment	Group agreed on a rating of 2	Academic advising needs to develop a mission, goals, outcomes and objectives.
5. Access, Equity, Diversity, and Inclusion	Group agreed on a rating of 2	Needs to provide training in diversity and develop a mission, goals, outcomes and objectives
6. Leadership, Management, and Supervision	Group agreed on a rating of 2	Academic advising needs to develop a mission, goals, outcomes and objectives.
7. Human Resources	Group agreed on a rating of 2	No action needed
8. Collaboration and Communication	Group agreed on a rating of 2	Academic advising needs to develop a mission, goals, outcomes and objectives.
9. Ethics, Law, and Policy	Group agreed on a rating of 2	No action needed
10. Financial Resources	Group agreed on a rating of 2	No action needed
11. Technology	Group agreed on a rating of 2	No action needed
12. Facilities and Infrastructure	Group agreed on a rating of 2	No action needed

Work Form B – Good Practices

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:

- **Good Practices:** Item number(s) for which all participants have given a rating of 2, indicating agreement that the criterion *meets* the standard.

Part	Standards of Good Practice
1. Mission	
2. Program and Services	
3. Student Learning, Development, and Success	The academic advising program contributes to students' curricular and co-curricular experiences. Our informational packets also include important information for the students; such as our steps to registration and facts about the institution. Kudor Journey, a program offered by our career services, is also made available for students whom may be undecided. We also offer virtual advising through the use of SS Connect.
4. Assessment	The academic advising program supports continuous improvement through assessment by utilizing Admission Pros, Banner, Argos, and SS Connect; as well as offering workshops, surveys, and training in necessary areas such as Title IX, FERPA and WV Code of Ethics. We also offer placement testing and tutoring in our learning studio, which is used as research of effective outcomes; along with results of OR 110 assessments
5. Access, Equity, Diversity, and Inclusion	The academic advising program provides professional development for advising staff; and advocate and implement access, equity, diversity, and inclusion by creating goals and hosting events.
6. Leadership, Management, and Supervision	Demonstrates effective management through means of annual performance evaluation, weekly and monthly meetings, strategic planning, professional development, and communication skills. Leader empowers professional growth and follows institutional policies.
7. Human Resources	Academic advising maintains necessary staffing, including student work study tutors, to meet the college's advising needs while following standard employee practices. We also provide training in various areas and times such as Governance Day and Student Services professional developments.
8. Collaboration and Communication	Academic advising collaborates and communicates with other departments, faculty, and staff by meetings, website, SS Connect, marketing materials, television content, social media posts, and informational packet, etc.
9. Ethics, Law, and Policy	Our standards of good practice regarding ethics, law, and policy include the use of EOE statements, Jamie's Law, Clery Act, VAWA, Title IX, ADA, human resources handbook, NACAC, Code of Ethics, and FERPA.
10. Financial Resources	Our standards of good practices regarding financial resources include our budget, meetings, strategic plan, SS Connect and Admission Pros.

11. Technology	Our standards of good practices regarding technology includes the use of Banner, Argos, Kronos, Admission Pros, marketing, SS Connect, Degree Works, the college's website, OR110-Campus Toolkit, and Zoom.
12. Facilities and Infrastructure	Academic advising uses surveys, safety reports, fire marshal visits, and compact master plan to maintain good practices within facility and infrastructure.

Work Form C –Areas for Improvement and Recommended Action

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:

- **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.
- **Recommendations:** 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	Areas for Improvement: Items that do not meet or partly meet the standard (consensus ratings = 0, 1)	Recommendations for Functional Area Action:
1. Mission	0	The academic advising team will develop a mission statement and goals.
2. Program and Services	1	The academic advising will develop a mission statement, goals, and outcomes.
3. Student Learning, Development, and Success		
4. Assessment		
5. Access, Equity, Diversity, and Inclusion		
6. Leadership, Management, and Supervision		
7. Human Resources		
8. Collaboration and Communication		
9. Ethics, Law, and Policy		
10. Financial Resources		
11. Technology		

12. Facilities and Infrastructure		
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Work Form D – Beginning the Action Plan

INSTRUCTIONS:

This work form is for use by the staff of the functional area 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

Academic advising will develop and implement a mission statement and department goals, which will align with the mission statement and goals of the institution. We anticipate this will help us to focus our energies collectively toward a common outcome.

Part 2. Program and Services

Academic advising will form a committee to identify goals, objectives and outcomes which will strengthen our program, improve our services, and align with the goals, objectives, and outcomes of the institution.

Part 3. Student Learning, Development, and Success

Part 4. Assessment

Part 5. Access, Equity, Diversity, and Inclusion

Part 6. Leadership, Management, and Supervision

Part 7. Human Resources

Part 8. Collaboration and Communication

Part 9. Ethics, Law, and Policy

Part 10. Financial Resources

Part 11. Technology

Part 12. Facilities and Infrastructure

Work Form E – Action Plan

INSTRUCTIONS:

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

Current Practice Description	Corrective Action Needed	Task Assigned To	Timeline/ Due Dates
No mission statement or goals	Create, develop, and implement an academic advising mission statement and goals	Academic advising	2024
No objectives or outcomes	Form a committee to develop objectives and outcomes	Academic advising	2024

ACADEMIC ADVISING PROGRAMS

CAS Standards and Guidelines

Guiding Principle: Students and Their Environments

Part 1. MISSION

1.1 Programs and Services Mission

The mission of Academic Advising Programs (AAP) is to assist students as they define, plan, and achieve their educational goals. AAP must advocate for student success and persistence.

AAP must develop and define its mission.

The AAP mission must be consistent with the mission of the department, college, division, institution, and applicable professional standards.

The AAP mission must be appropriate for the institution's students, designated clients, and other constituents.

Whether centralized or decentralized in its administration, AAP must advance its mission.

1.2 Mission Statement

AAP must implement, disseminate, regularly review, and update its mission statement.

Mission statements must reference student learning, development, and success.

Part 2. PROGRAM AND SERVICES

2.1 Program and Services Goals

Academic Advising Programs (AAP) must be guided by a set of written goals and objectives that are directly related to the stated mission.

The AAP goals must be aligned with institutional priorities and expectations of the functional area.

AAP must regularly develop, review, evaluate, and revise its goals.

AAP must communicate goals and progress toward achievement to appropriate constituents.

2.2 Program Information and Services

AAP must provide relevant information, services, and resources consistent with its mission and goals.

AAP advisors must engage students in the shared responsibility of academic advising.

AAP advisors should offer advising sessions in a format that is

- private and safe
- convenient and accessible to the student, employing the use of electronic and multimedia formats and traditional in-person or telephone interactions as appropriate
- carried out individually or in groups, depending on the needs of the student and always with the student's consent

AAP must provide current and accurate advising information.

AAP must clarify institutional policies and procedures for students.

AAP must raise awareness of institutional and community resources and services for students.

AAP must monitor academic progress, proactively identify academically at-risk students, and connect those students with appropriate resources to facilitate student success.

AAP must develop and implement strategies for outreach and promotion.

AAP must promote the program such that the campus community can identify the individual or group coordinating academic advising.

AAP must clearly delineate, publish, and disseminate information about specific advisor responsibilities to the campus community.

2.3 Program Structure and Framework

AAP must have clearly stated, current, relevant, and documented

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

AAP must be purposefully structured and resourced to balance efficiency and effectiveness and to achieve programmatic and student learning and development outcomes.

The specific model used for AAP should be consistent with the mission, structure, and resources of the institution.

AAP may be a centralized or decentralized function with a variety of employees throughout the institution assuming responsibilities.

AAP must provide adequate resources to ensure that academic advising caseloads are consistent with the institutional mission and stated goals.

Factors that affect determination of advising caseloads include mode of delivery, advising approach used, additional advisor responsibilities, student needs, and time required for this activity.

The academic status of the student being advised should be taken into consideration when determining caseloads. Specific students groups (e.g., undecided students or students on academic probation) may require more advising time than upper-division students who have declared their majors.

Workloads should reflect that advisors may work with students not officially assigned to them and that advising related responsibilities may extend beyond direct contact with students.

Regardless of organizational structures, AAP must work in close consultation and collaboration with others with expertise and resources to meet the needs and interests of students and designated clients.

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

2.4 Program Design

AAP must be intentionally designed to

- achieve predetermined student learning and development outcomes
- incorporate research and theories on student learning, development, and success
- respond to needs of individuals, constituents, and populations with distinct needs
- ensure access for students and designated clients

AAP must provide the same quality of academic advising and in the appropriate accessible forums to distance learners as it does to students on campus.

AAP must make advising available to students throughout their time at the institution.

Part 3. STUDENT LEARNING, DEVELOPMENT, AND SUCCESS

3.1 Program Contribution to Student Learning, Development, and Success

Academic Advising Programs (AAP) must contribute to students' formal education, which includes both curricular and co-curricular experiences.

AAP must promote student learning, development, and personal growth to encourage self-sufficiency.

AAP must contribute to students' progression and timely completion of educational goals.

AAP must assist students in identifying the realistic timeframe to complete their educational goals and support their efforts.

AAP must help students and designated clients prepare for their careers and meaningful contributions to society.

AAP must provide opportunities that help inform student choices and decisions about academic work and about educational, career, and life goals.

AAP must support students, on an ongoing basis, as they establish and evaluate their educational, career, and life goals.

AAP advisors should inform students that the ultimate responsibility for making decisions about educational plans and life goals rests with the individual student.

AAP must work with the institution to identify relevant and desirable student success outcomes.

AAP must advocate for appropriate resources to facilitate student success.

AAP must identify relevant and desirable student learning and development outcomes.

AAP must implement strategies and tactics to achieve these outcomes.

When institutional policy or process interferes with students' learning and development, AAP must advocate for change using appropriate institutional means.

3.2 Student Learning and Development Domains and Dimensions

AAP must align predetermined student learning and development outcomes with the CAS learning outcomes model or other recognized student learning and development models.

AAP must align predetermined student learning and development outcomes with the institutional framework for student outcomes.

The CAS student learning and development outcomes model includes six broad categories (called domains), meant to identify the aspects of learning experienced by students through engaging with programs, disciplines, or other learning opportunities. The domains are further clarified through dimensions. The dimensions of student learning and development allow for a more focused assessment approach and opportunities for alignment with institutional mission and priorities.

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

[Learning and Development Outcomes: See the Council for the Advancement of Standards Student Learning and Development Outcomes (www.cas.edu/learningoutcomes) for examples of outcomes related to these domains and dimensions.]

3.3 Assessment of Student Learning and Development

AAP must assess the student learning and development outcome domains and dimensions relevant to the functional area.

AAP must provide evidence of the extent to which student learning and development outcomes are achieved.

AAP must provide evidence of the extent to which student success outcomes are achieved.

AAP must use evidence to create strategies for improving student learning, development, and success.

Part 4. ASSESSMENT

4.1 Establishing a Culture of Assessment

Academic Advising Programs (AAP) must develop assessment plans and processes that document progress toward achievement of mission, goals, outcomes, and objectives.

AAP must design assessment plans that incorporate an ongoing cycle of assessment activities.

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

4.2 Program Goals, Outcomes, and Objectives

AAP must identify goals, outcomes, and objectives to guide its work.

AAP must identify assessment methods that will allow for the collection of relevant data on its goals, outcomes, and objectives.

When collaborating with other departments on assessment activities, these activities must be consistent with the AAP mission and assessment plan.

4.3 Assessment Plan and Process

AAP must structure assessment initiatives using the steps of the assessment cycle:

- set program goals, outcomes, and objectives
- develop and implement assessment plan
- review and interpret findings
- develop a plan for data use, continuous improvement, and reassessment
- implement an improvement plan
- review and monitor changes that have been made

AAP must implement the assessment process with methods that reflect universal design principles.

AAP must employ ethical practices in the assessment process.

AAP must implement assessment processes in a way that is culturally responsive, inclusive, and equitable.

AAP must engage students, faculty, staff, administrators, and other relevant constituents in assessment activities.

4.4 Gathering Evidence

AAP must identify priorities for assessment, including both formative and summative approaches.

AAP must employ multiple methods and measures of data collection.

AAP must develop manageable processes for gathering, interpreting, and evaluating data.

AAP must adhere to institutional policies related to data access and management.

AAP must ensure measures and methods are rigorous and reflect characteristics of validity, reliability, and trustworthiness.

4.5 Review and Interpret Findings

AAP must use methods to analyze and interpret data that correspond with objectives and questions considered within overall assessment goals.

AAP must disaggregate data to address the objectives and questions considered in the assessment project.

4.6 Reporting Results and Implementing Improvement

AAP must use assessment results to demonstrate student learning, development, and success.

AAP must use assessment results to demonstrate effectiveness and continuous improvement.

AAP must use evidence from assessment activities to inform decision-making and planning for continuous improvement.

AAP must monitor improvements implemented based on assessment results.

AAP must apply results for future planning.

AAP must inform constituents of assessment results and how data have been used for continuous improvement.

AAP must distribute relevant data regarding student needs, preferences, and performance for use in institutional decisions and policy.

Guiding Principle: Advocating for Diverse, Equitable, and Inclusive Communities

Part 5. ACCESS, EQUITY, DIVERSITY, AND INCLUSION

5.1 Inclusive and Equitable Educational and Work Environments

Within the context of each institution's mission and in accordance with institutional policies and applicable codes and laws, Academic Advising Programs (AAP) must create and maintain educational and work environments for students, faculty, staff, administrators, designated clients, and other constituents that are welcoming, accessible, inclusive, equitable, and free from bias or harassment.

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

5.2 Organizational Aspects of Access, Equity, Diversity, and Inclusion

AAP must provide equitable access to facilities and resources for all constituents.

AAP must respond to the needs of all constituents when establishing hours of operation and developing methods for delivering programs, services, and resources.

AAP must identify and address actions, policies, and structures within its operation that perpetuate systems of privilege and oppression.

5.3 Advocating for Access, Equity, Diversity, and Inclusion

AAP must advocate for accessible facilities and resources, and address issues that impede access.

AAP must advocate for inclusion, multiculturalism, and social justice within the institution.

AAP must enact culturally responsive, inclusive, respectful, and equitable practices in the provision of services.

AAP must develop plans for ongoing professional development on cultural competence and workplace inclusion.

5.4 Implementing Access, Equity, Diversity, and Inclusion

AAP must establish goals for access, equity, diversity, and inclusion.

AAP must address the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices.

AAP must ensure that personnel are trained in diversity, equity, access, and inclusion and are held accountable for applying the training to its work.

AAP must have an established protocol for, and foster expectation of, bias incident reporting.

Personnel within AAP must cultivate understanding of identity, culture, self-expression, and heritage.

Personnel within AAP must promote respect for commonalities and differences among people within their historical and cultural contexts.

When educational and/or workplace accommodations are requested, AAP must provide individuals with an interactive process to determine reasonable accommodations.

Guiding Principle: Organization, Leadership, and Human Resources

Part 6. LEADERSHIP, MANAGEMENT, AND SUPERVISION

6.1 Leadership

Academic Advising Programs (AAP) leaders must model ethical behavior and demonstrate alignment with institutional mission, goals, and ethical practices.

Leaders with organizational authority for AAP must provide management and supervision as well as lead strategic planning and program advancement.

AAP leaders must

- create a vision for the functional area
- communicate goals
- model and expect commitment
- build teams, coalitions, and alliances
- influence others to contribute to the effectiveness and success of the unit
- advance diversity, equity, access and inclusion goals in the workplace
- incorporate data and information in decision making
- develop a risk management plan for the organization
- incorporate sustainable practices in the design of programs, services, and facilities
- develop and empower new leaders from within the organization
- collaborate with colleagues and departments across the institution
- adhere to organizational constraints

AAP leaders must advance the functional area by

- advocating for and actively promoting the functional area's mission and goals
- communicating with constituents about current issues affecting the profession
- identifying and addressing individual, organizational, and environmental conditions that foster or inhibit mission achievement
- facilitating discussion and decisions regarding program advancement
- advocating for representation in strategic planning processes at departmental, divisional, and institutional levels

6.2 Management

AAP managers must

- be empowered to demonstrate effective management
- plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources
- develop plans for scholarship, leadership, and service to the institution and the profession
- engage diverse perspectives from within and outside the unit to inform decision making

6.3 Supervision

AAP supervisors must

- incorporate institutional policies and procedures in the development of strategies for recruitment, selection, professional development, supervision, performance planning, succession planning, evaluation, recognition, and reward of personnel
- consult with institutional HR personnel to access and receive education and training that influence successful performance of personnel
- provide feedback on personnel performance
- identify and resolve workplace conflict
- follow institutional policies for addressing complaints
- provide reports and activity updates to management
- work with personnel to develop plans for scholarship, leadership, and service to the profession and institution
- provide supervision and support so that personnel may complete assigned tasks

6.4 Strategic Planning

AAP leaders, managers, and supervisors must facilitate ongoing strategic planning processes that

- facilitate continuous development, implementation, assessment, and evaluation of program effectiveness and goal attainment congruent with institutional mission and ongoing planning efforts
- support ongoing assessment activities that improve student learning, development, and success
- utilize philosophies, principles, and values that guide the work of the functional area
- promote environments that provide opportunities for student learning, development, and success
- develop, adapt, and improve programs and services in response to the needs of changing environments, populations served, and evolving institutional priorities
- engage many diverse constituents and perspectives from within and outside the unit to inform the development and implementation of the planning process
- result in 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

Part 7. HUMAN RESOURCES

7.1 Staffing and Support

Academic Advising Programs (AAP) must identify the level of staffing necessary to achieve its mission and goals.

AAP must be staffed by individuals qualified to accomplish its mission and goals. Personnel include full-time and/or part-time faculty, staff, administrators, and paraprofessionals (e.g., student employees, interns, graduate assistants, and volunteers).

AAP must have access to technical and support personnel to accomplish its mission.

Advisors must have an opportunity to determine and articulate the need for administrative, technological, and executive support of advising.

Support personnel and technical staff responsibilities may include:

- maintaining student records
- organizing resource materials
- receiving students
- making appointments
- handling correspondence
- meeting other operational needs
- assisting with research, data collection, systems development, and special projects

AAP 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.

AAP personnel may be full-time or part-time professionals for whom advising is a primary or secondary function; they also may be faculty members whose responsibilities include advising.

7.2 Employment Practices

AAP must establish procedures and expectations for personnel recruitment, selection, training, supervision, performance, and evaluation.

AAP leaders must

- ensure that all personnel have written position descriptions
- regularly review position descriptions
- maintain copies of up-to-date resumes/curriculum vitae for all currently employed personnel
- implement recruitment and selection/hiring strategies that demonstrate a deliberate effort to diversify the workforce
- develop promotion practices that are fair, inclusive, proactive, and non-discriminatory

AAP leaders must establish, in partnership with personnel and aligned with institutional policies, work arrangements (e.g., schedules, remote work) that achieve department objectives.

Personnel within AAP must have written performance goals, objectives, and outcomes for each 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 AAP.

7.3 Personnel Training and Development

AAP personnel must receive training when hired and professional development throughout their employment.

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

Continuing and regular professional development should address

- theories of student development, student learning, career development, and other relevant theories
- academic advising approaches and best practices
- research, assessment, and evaluation processes
- widely adopted purposes of academic advising and its relevance to student success at the institution
- strategies that contribute to achievement of student learning outcomes
- academic policies and procedures, including institutional transfer policies and curricular changes
- ethical and legal issues including U.S. Family Education and Records Privacy Act (FERPA)/Canadian Freedom of Information and Protection of Privacy (FOIPP) and other privacy laws and policies
- technology and software training (e.g., to perform degree audits, web registrations)
- comprehensive knowledge of the institution's programs, academic requirements, policies and procedures, majors, minors, and certificate programs
- institutional and community resources and services (e.g., research opportunities, career services, internship opportunities, counseling and health services, tutorial services)
- non-discrimination and accommodations laws and directives (e.g., Americans with Disabilities Act (ADA)/Canadian Human Rights Act)
- strategies for building strong relationships and connections with students from diverse backgrounds through a variety of advising interactions

AAP must provide personnel with appropriate professional development opportunities or resources that facilitate individual professional development goals and improve competence, skills, and leadership capacity.

AAP must support learning and professional development for those involved in delivery of academic advising.

AAP personnel must have access to resources and receive specific training on policies, procedures, and laws related to

- the programs and services they support

- privacy and confidentiality
- student records and sensitive institutional information
- systems and technologies necessary to perform their assigned responsibilities
- sexual misconduct, harassment, and workplace violence

AAP personnel must be trained on how to recognize and address systems of oppression in the workplace and facilitate a welcoming, inclusive work environment.

AAP personnel must be trained on how and when to refer those in need of additional assistance to qualified personnel, and must have access to a supervisor for assistance in making these judgments.

AAP must provide advisors with training and development for making effective referrals to both on- and off-campus services and agencies.

AAP leaders must ensure that personnel are knowledgeable about and trained in safety, emergency procedures, identifying threatening conduct or behavior, crisis prevention, response, and reporting.

7.4 Paraprofessional Personnel

Paraprofessionals working in AAP must be enrolled in an appropriate field of study and/or have relevant experience.

Paraprofessionals working in AAP must be carefully selected, trained, supervised, and evaluated by personnel who possess applicable educational credentials, work experience, and have supervisory experience.

Paraprofessionals and peer advisors may assist advisors.

AAP leaders must accommodate the dual roles paraprofessionals may have as both student and employee.

AAP leaders must

- adhere to parameters of paraprofessionals' job descriptions
- articulate intended student learning and development outcomes in student employee job descriptions
- adhere to agreed-upon work hours and schedules
- offer flexible scheduling options as needed by the student employee
- work with paraprofessionals to determine suitable compensation if circumstances necessitate additional hours

Part 8. COLLABORATION AND COMMUNICATION

8.1 Collaboration

Academic Advising Programs (AAP) personnel must collaborate and consult with institutional leaders, faculty, individuals, and departments essential to the success of the program.

AAP must collaborate with individuals, groups, communities, and organizations to

- establish, maintain, and promote understanding and effective relations
- garner support and resources
- meet the needs of students, designated clients, and other constituents
- achieve program and student outcomes
- engage diverse populations to enrich the educational environment
- disseminate information about programs and services

- solve problems pertinent to the student population, designated clients, or the organization

AAP must refer students, designated clients, and other constituents to appropriate resources when assistance is needed beyond the functional area's scope.

For referral purposes, AAP should maintain strong working relationships with relevant external agencies and campus offices. AAP should then provide comprehensive referral information to all who advise.

8.2 Communication

AAP must provide relevant information, services, and resources that explain its mission and goals.

AAP must develop and implement strategies for outreach and promotion.

AAP promotional and descriptive information must be accurate and free of deception and misrepresentation.

8.3 Procedures and Guidelines

AAP must have and follow procedures and guidelines consistent with institutional policy for

- communicating with the media
- distributing information through print, broadcast, and online sources
- the use of social media
- contracting with external organizations for delivery of programs and services
- developing relationships with donors
- dissemination of relevant information in a timely manner to all constituents

Guiding Principle: Ethical Considerations

Part 9. ETHICS, LAW, AND POLICY

9.1 Ethical Statements

Academic Advising Programs (AAP) must review and adopt appropriate standards of ethical practice including those of applicable professional associations.

AAP must have clearly defined and documented ethical statements addressing

- conflicts of interest, or appearance thereof, by personnel in the performance of their work
- management of institutional funds
- acceptance, in gratis, of cash or merchandise in accordance with institutional advancement reporting policies
- solicitation of gifts, in accordance with institutional advancement reporting policies
- research and assessment with human participants or animal subjects
- confidentiality of research and assessment data
- personnel, student, and other designated clients' rights and responsibilities
- disclosure of information in student, personnel, and other designated clients' records

9.2 Ethical Practice

AAP personnel must employ ethical decision making in the performance of their duties.

AAP personnel must recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation.

AAP personnel must be honest, objective, and impartial in their interactions.

AAP must demonstrate responsibility for sound and ethical assessment, research, evaluation, and program review.

AAP must encourage and provide a forum for personnel to address and report unethical behavior.

AAP must address issues surrounding scholarly integrity.

AAP personnel must perform duties within the scope of their position, training, expertise, and competence.

AAP personnel must make referrals when issues presented exceed the scope of their position.

AAP personnel must recognize their responsibility to ensure the privileged, private, or confidential nature of advisors' interactions with students is not sacrificed.

9.3 Legal Obligations and Responsibilities

AAP must comply with laws, regulations, policies, and procedures that relate to its respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole.

Advisors must be knowledgeable about and sensitive to laws, regulations, policies, and procedures, particularly those governing harassment, use of technology, personal relationships with students, privacy of student information, non-discrimination, and equal opportunity policies.

In accordance with governmental laws, institutional policy, and standards of good professional practice, AAP personnel who are concerned about students' well-being must ensure that they are referred to appropriate resources.

AAP must have a process for accessing legal advice needed for personnel to carry out their assigned responsibilities.

AAP must not discriminate based upon institutional policies, codes, or governmental laws.

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

9.4 Policies and Procedures

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

AAP must have and follow a timeline for reviewing policies and procedures. The creation and revision of policies and procedures must be informed by available evidence, and policies and procedures that inform the management of higher education.

AAP must have policies and procedures consistent with institutional policy for responding to threats, emergencies, and crisis situations.

9.5 Communication of Ethical and Legal Obligations

AAP must educate new personnel to relevant ethical standards, statements of ethical practice, and related institutional policies and procedures.

AAP must inform its users of ethical and legal obligations and limitations emanating from codes and laws or from licensure requirements.

AAP personnel must provide students, designated clients, and constituents with information about student privacy rights and personnel's disclosure obligations.

AAP must create ongoing opportunities to explore and examine basic ethical beliefs important to the functional area.

AAP must inform personnel about internal and external governance organizations that affect the functional area.

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

9.6 Addressing Harassment and Hostile Environments

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

AAP must adhere to institutional policies and procedures regarding sexual misconduct, harassment, and workplace violence.

Guiding Principle: Learning-Conducive Structures, Resources, and Systems

Part 10. FINANCIAL RESOURCES

10.1 Funding

Academic Advising Programs (AAP) must have the funding that is necessary to accomplish its mission and goals.

AAP must determine with administrative leadership what funding is necessary.

Sufficient institutional and financial resources must be provided to assist professional development of academic advisors.

Financial resources should be used to raise awareness of the academic advising program and its value to a range of stakeholders.

10.2 Financial Planning

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

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

AAP must use the budget as a planning tool to reflect commitment to the mission and goals of the functional area and of the institution.

AAP 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.

10.3 Financial Management

AAP must manage funds in accordance with established governmental laws and institutional policies, procedures, and guidelines.

AAP must demonstrate responsible stewardship and use of fiscal resources.

AAP must have procedures and guidelines consistent with institutional policy for applying to and managing funds from external resources.

AAP must be provided with the institutional and financial resources to assist with professional development of personnel.

AAP 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 11. TECHNOLOGY

11.1 Systems Management

Academic Advising Programs (AAP) must have current technology to support the achievement of its mission and goals.

AAP must incorporate accessibility features into technology-based programs and services.

AAP must ensure that personnel and constituents have access to training and support for technology use.

AAP must back up data on a cycle established in partnership with the institution's information technology department.

AAP must implement a replacement plan and cycle for all technology with attention to sustainability.

11.2 User Engagement

AAP must use technology to enhance the delivery of programs and services for all constituents.

AAP must employ appropriate and accessible technology to support the delivery of advising information.

AAP must ensure that online and technology-assisted advising includes appropriate processes for obtaining approvals, consultations, and referrals.

AAP must ensure that technology addresses constituent needs.

AAP must employ technologies that facilitate user interaction.

AAP must provide secure remote access.

11.3 Compliance and Information Security

AAP must have policies on the appropriate use of technology that are clear and easily accessible.

AAP must comply with governmental codes and laws and with institutional technology policies and procedures.

AAP must provide a secure platform when conducting financial transactions, in accordance with industry best practices.

11.4 Communication

AAP must have updated websites that provide information to all constituents in accessible formats.

AAP must use technology that allows users to communicate sensitive information in a secure format.

AAP must evaluate relevant social media platforms and techniques for communication, and implement those that best meet constituent needs.

AAP must evaluate multiple modes of communication including, but not limited to, phone, text, and web chat.

Part 12. FACILITIES AND INFRASTRUCTURE

12.1 Design of Facilities

Academic Advising Programs (AAP) facilities must be located in suitable spaces designed to support the functional area's mission and goals.

AAP facilities must be intentionally designed to engage various constituents, promote learning, and provide accessible and safe spaces.

AAP facilities must be designed to protect the security and privacy of records and ensure the confidentiality of sensitive information and conversations.

AAP must incorporate universal design principles.

AAP facilities must be designed and constructed to be energy-efficient and sustainable.

12.2 Work Space

AAP personnel must have equipped and well-maintained workspaces designed to support their work and responsibilities.

AAP must provide work space that is private and free from visual and auditory distractions.

AAP personnel must be able to safeguard the privacy of their work.

12.3 Equipment Acquisition

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

AAP must incorporate sustainable practices when purchasing equipment.

12.4 Facilities and Equipment Use

AAP facilities and equipment must be inspected on an established cycle and be in compliance with codes, laws, and established practices for accessibility, health, safety, and security.

AAP must promptly report broken, malfunctioning, defective, unusable, or faulty facilities and equipment to the entity responsible for maintenance.

AAP must develop sustainable practices for facilities use.

AAP must assess the effectiveness of its facilities to ensure they are meeting facilities and equipment goals.

AAP personnel must advocate for appropriate, consistent, and fair assignment of facilities and equipment.

*General Standards revised in 2018;
AAP content developed/revised in 1986, 1997, 2005, & 2013*

The AAP Standards and Guidelines should be considered in conjunction with the AAP Contextual Statement, CAS Glossary of Terms, and CAS Guiding Principles.