

# CAS Self-Assessment Guide

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## UNDERGRADUATE ADMISSIONS PROGRAMS AND SERVICES 2019

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Instructions for conducting self-assessment using the SAG

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Gives a functional and historical perspective to the area

### Self-Assessment Instrument

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

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Offer direction for developing an action plan (e.g. identify standards of good practice, areas of improvement, recommendations, resources, timeframe, and responsible individuals)

### Appendix A: CAS Standards and Guidelines for Undergraduate Admissions Programs and Services

## INTRODUCTION AND INSTRUCTIONS

### CAS Self-Assessment Guide

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

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

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

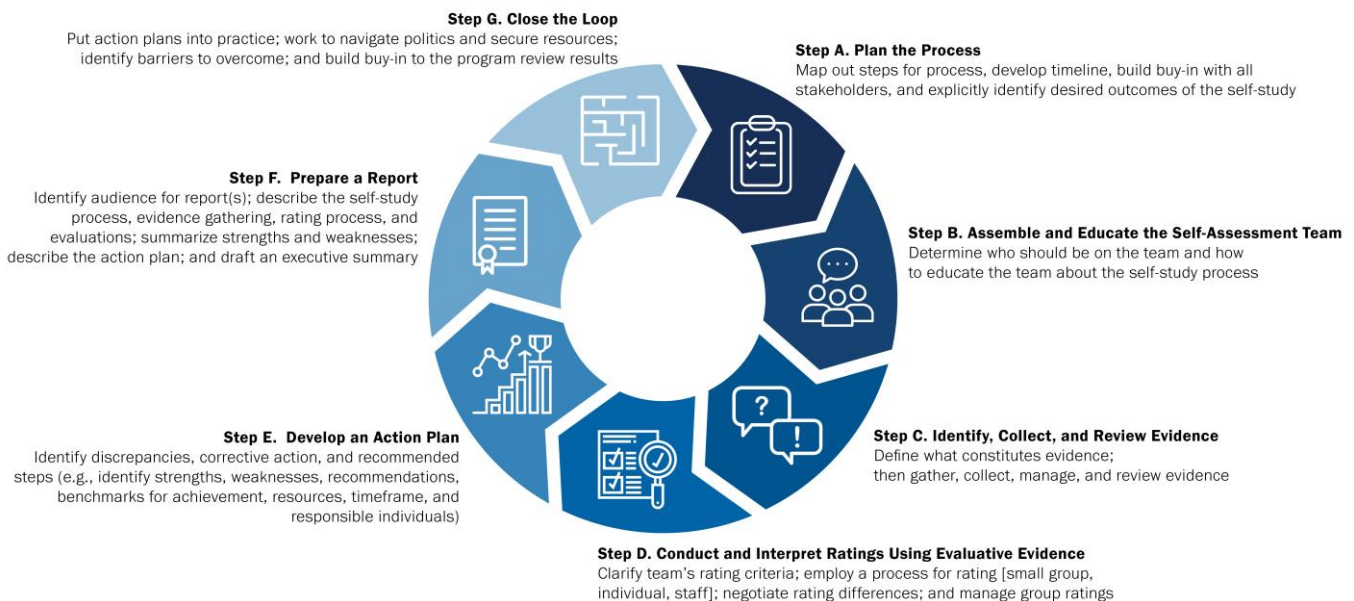
The introduction is followed by the *Self-Assessment Worksheet*, which presents the CAS standards for the functional area and incorporates a series of criterion measures for rating purposes.

### I. Self-Assessment Guide and Process

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

- |  |   |
|--|---|
| Part 1. Mission                                    | Part 7. Human Resources                 |
| Part 2. Program and Services                       | Part 8. Collaboration and Communication |
| Part 3. Student Learning, Development, and Success | Part 9. Ethics, Law, and Policy         |
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| Part 5. Access, Equity, Diversity, and Inclusion   | Part 11. Technology                     |
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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.

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

**Using Guidelines to Make Judgments about the Program**

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



## UNDERGRADUATE ADMISSIONS PROGRAMS AND SERVICES

### CAS Contextual Statement

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

Historically, the admissions function grew out of the expansion of higher education in the 19<sup>th</sup> century. Legislation like the Morrill Acts of 1862 and 1890, which designated federal land in each state for the purpose of establishing colleges that specialized in agriculture and mechanical arts, represented a new perspective on educational access and dramatically increased the number and types of higher education institutions (Coomes, 2000; Thelin, 2003). No admissions offices existed in early higher education; faculty members were typically responsible for any decisions regarding admission (Henderson, 1998).

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

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

Throughout the early 20<sup>th</sup> century, enrollments continued to rise through the Great Depression and post-World War II (Coomes, 2000; Thelin, 2003). To help manage this growth, a new administrative position emerged in higher education: deans of admissions. Deans of admissions were responsible for assessing whether applicants were adequately prepared for admission, and they are credited with the introduction of objective measures to “examine the quality of applicants for admission” (Coomes, 2000, p. 7). In addition, the push for standardized admissions criteria led to the creation of admissions offices in institutions across higher education, relieving the faculty of the burden of admissions decisions (Henderson, 1998).

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

Today, marketing has become an essential aspect of admissions and enrollment work, which has “drawn admissions officers into institutional activities other than conventional admissions work...[such as] new academic programs, on athletics, on the design and operation of dormitories, on fund-raising, and other matters because these professionals know the prospective student market so well” (Casteen, 1998, p. 8). NACAC and AACRAO also outline specific core values of personnel working in admissions and enrollment

services, including professionalism, collaboration, trust, education, integrity, fairness and equity, respect for others, and social responsibility (AACRAO, 2015; NACAC, 2016).

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

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

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

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

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## UNDERGRADUATE ADMISSIONS PROGRAMS AND SERVICES

### CAS Self-Assessment Guide

#### Part 1: MISSION

**Suggested Evidence and Documentation for Part 1:** At the current time there is no Mission statement for the Admissions Office

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**

- The mission of Undergraduate Admissions Programs and Services (UAPS) is to enroll undergraduate applicants who will, both individually and collectively, benefit from the collegiate learning environment through academic and personal enrichment and development.
  - N/A
- UAPS develops and defines its mission.
  - N/A
- The UAPS mission is consistent with the mission of the department, college, division, institution, and applicable professional standards.
  - N/A
- UAPS recruits, admits, and encourages enrollment of applicants whose academic and personal credentials are consistent with the overall priorities and mission of the institution.
  - Series 23 Admissions
  - College mission
  - Recruitment Spreadsheets
  - Tours/Photos/Student Services Events Calendar
  - Social media ads/Radio/TV/Print
  - Admission Pros
  - Banner
  - Argos Reports
- The UAPS mission is appropriate for the institution's students, designated clients, and other constituents.
  - N/A
- UAPS advances its mission.
  - N/A

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

*Justification for 1.1 Rating:*

Group agreed upon the rating of "1" because there is no mission statement.

#### **1.2 Mission Statement**

- UAPS implements, disseminates, regularly reviews, and updates its mission statement.
  - N/A
- The mission statement references student learning, development, and success.
  - N/A

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 to "0" rating, seeing as it does not meet the standards. We do not have a mission statement at this time, but we will develop one.

**Overview Questions:**

1. How does the mission embrace student learning and development?
2. In what ways does the UAPS mission complement the mission of the institution?
3. To what extent is the mission used to guide practice?

**Part 2: PROGRAM AND SERVICES**

**Suggested Evidence and Documentation for Part 2:**

1. List of program goals and objectives
  - a. No list of program goals and objectives
2. List of current collaborations across the institution
  - a. Student Services
  - b. Business Office
    - i. Referring students for payment
  - c. Records
    - i. Transcripts
    - ii. SSConnect
    - iii. Admission Pros
  - d. Communications
    - i. Social media posts
  - e. Academic Affairs/Faculty
    - i. Programs
    - ii. Tours
    - iii. Open Houses
    - iv. Advising/Registration
  - f. IT Department
    - i. BANNER
    - ii. Help Desk
    - iii. TV System
  - g. Facilities Unit
    - i. Reserve space
    - ii. Room set up
    - iii. Clean facilities
  - h. Library
    - i. Student IDs
    - ii. Library resources
  - i. President's Office
    - i. Collaboration on events
3. Map of program activities
  - a. New Student Orientation
  - b. Welcome Packets
  - c. Visitor Management
  - d. Recruitment/Access
    - i. Registration
    - ii. High/Middle school visits
    - iii. Campus visits

- iv. Applications
  - e. Advertising and Promotion
  - f. Tours
    - i. In person
    - ii. Virtual
- 4. Map or report of outcome assessment activities, including results
  - a. Monthly reports
  - b. Annual reports
  - c. Enrollment reports
  - d. Strategic Enrollment Management Plan
  - e. Strategic Plan
- 5. Strategic plans program design and enhancement
  - a. Strategic Enrollment Management Plan
  - b. Strategic Plan
- 6. Specifications or requirements (if applicable)
  - a. Series 23
  - b. SCP-4000; 4001; 4151; 4786
  - c. Code of Ethics
  - d. Performance Evaluations
  - e. Job Descriptions
- 7. Organization Chart
  - a. Org. Chart on website

**2.1 Program and Services Goals**

- Undergraduate Admissions Programs and Services (UAPS) is guided by a set of written goals and objectives that are directly related to the stated mission.
  - No Mission Statement and No Written Goals
- The UAPS goals are aligned with institutional priorities and expectations of the functional area.
  - No Written Goals
- UAPS regularly develops, reviews, evaluates, and revises its goals.
  - No Written Goals
- UAPS develops and regularly reviews enrollment goals for admission with appropriate individuals within the institution.
  - Strategic Enrollment Management Plan
- UAPS communicates goals and progress toward achievement to appropriate constituents.
  - SEMP Minutes
  - Cabinet Minutes
  - Updates at Town Halls and Governance Days

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

*Justification for 2.1 Rating:*

Group agreed upon a rating of “1”. We do not have a mission statement or goals at this time, but will develop one.

**2.2 Program Information and Services**

- UAPS provides relevant information, services, and resources consistent with its mission and goals.
  - Welcome Packets, brochures, social media, call logs, website
- UAPS develops and implements strategies for outreach and promotion.
  - Recruitment Schedule, Flyers, Brochures, Social Media, Department meeting minutes
  - Enrollment Spreadsheets
  - Outreach via email, social media, phone, person to person
- UAPS includes recruitment, admission, and enrollment criteria, procedures, and strategies.

- SSCConnect
- Admission Pros Reports
- Welcome Kits
- Recruitment Schedule
- Next Steps to Registration Flyer
- Social Media
- Channel 17/TV ads/Radio ads
- UAPS includes information about the institution, academic programs, and admissions policies.
  - See College Catalog and Website
  - Welcome Packets
  - Social Media

#### 2.2a Recruitment, Admission, and Enrollment Criteria, Procedures, and Strategies

- UAPS establishes, promulgates, and implements admission criteria that accurately represent the mission, goals, purposes and resources of the institution, and that accommodate the abilities, needs, and interests of potential students.
  - Policies listed above/on website/Catalog
  - College's mission, goals, purposes are on website
  - Admission Pros (APs), College's website, and facilities are accessible
  - Civil Rights Review
  - Testing Documentation
    - ACT
    - Accuplacer
    - SAT
    - AP scores
- UAPS clearly articulates the requirements of admission and enrollment processes.
  - College Catalog
  - Policies listed above on website
  - Flyers, social media posts, website
  - Welcome kits
  - Steps to Registration
  - APs
- UAPS clearly explains the process by which applicants bring credit to the institution including transfer credit or life experience, if applicable at the institution.
  - College Catalog
  - Website
  - CTE to CTC
  - ECA, Dual Credit, etc.
- UAPS develops recruitment and admission procedures and strategies designed to establish and meet the institution's enrollment plan and diversity goals.
  - SEMP
  - Civil Rights Review Document
  - Student Profile Analysis (website)
- UAPS offers recruitment opportunities including community venues for potential adult students.
  - Fairs, Parades, Open Houses, Community Events, Job Fairs
  - Recruitment Schedule
  - SSCConnect
- UAPS has policies and procedures for managing applications and communicating to students who do not meet traditional admission criteria.
  - Open admissions institution
  - College catalog

#### 2.2b Information About the Institution, Academic Programs, and Admissions Policies



- UAPS clearly and accurately presents the mission, goals, policies, procedures, facilities, and characteristics of the institution
  - Mission, values, priorities, policies on website, TVs, Catalog
- UAPS accurately represents and promotes the institution by providing current, factual, and accurate information about descriptions of majors, minors, concentrations and/or interdisciplinary academic offerings, as well as information about separate admissions to majors.
  - See College Catalog updated annually
  - Website updated as needed
  - New brochures on programs
  - AH/Nursing, Lineman, promotional items
- UAPS accurately represents and promotes the institution by providing current, factual, and accurate information about bridge programs, dual high school/college enrollment programs, diploma, certificate, and other special admissions programs.
  - College Catalog
  - Website
  - Social Media posts
- UAPS accurately represents and promotes the institution by providing current, factual, and accurate information about financial aid; housing application and deposit deadlines; and other related services.
  - College Catalog
  - Website
  - Social Media posts
  - Steps for Registration
  - Welcome Kits
- UAPS includes a current and accurate admission calendar in publications and websites.
  - Academic Calendar
  - Student Services Calendar
  - Welcome Kit
- If the institution offers special admission options, the publication defines these programs and states deadlines dates, notification dates, required deposits, and refund policies.
  - Academic Calendar
  - College Catalog
  - Welcome Kit
  - Admission Acceptance Letter
- UAPS has policies and procedures for managing special admissions requests from politically sensitive constituencies, such as legislators, governing board members, donors, and alumni.
  - Same as everyone else
- UAPS provides students, families, and secondary schools with comprehensive information about costs of attendance and opportunities for financial aid.
  - Website
  - Welcome Kit
  - College Catalog
  - Social Media
  - TV/Radio Ads

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

*Justification for 2.2 Rating:*

Group agreed on the rating of "2". No action is needed.

### 2.3 Program Structure and Framework

- UAPS 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.
  - College Website
  - Job Descriptions in HR
  - Performance Reviews
  - Org. Chart on website
  - Policies and procedures on website
- UAPS is purposefully structured and resourced to balance efficiency and effectiveness
  - Admissions is represented on each campus
  - SSConnect allows us to serve students anywhere they have internet access
  - Largest Admissions team in school history
  - Recruitment and Admissions in same department
  - APs helps us admit students quickly and effectively
  - APs gives us lots of data
- UAPS is purposefully structured and resourced to achieve programmatic and student learning and development outcomes.
  - Org. chart on website
  - Budget on S-Drive
  - Steps for Registration
  - Application for Admission
  - AH/N application for admission
  - Recruitment schedule
- UAPS functions as an independent unit or as part of an overall enrollment management structure.
  - Org Chart on website
- UAPS works in close consultation and collaboration with others with expertise and resources to meet the needs and interests of students and designated clients.
  - Org chart
  - Flyers of academic programs
  - Faculty roster of volunteers for registration
  - Steps for Registration
  - TANF, Gear Up, Disability Services brochures, flyers, etc.
  - Meeting minutes
- UAPS collaborates with colleagues and departments across the institution to promote student learning, development, and success.
  - Work closely with the Student Success unit
  - Org chart
  - Flyers of academic programs
  - Faculty roster of volunteers for registration
  - Steps for Registration
  - TANF, Gear Up, Disability Services brochures, flyers, etc.

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

*Justification for 2.3 Rating:*

Group agreed on a rating of "2". No action is needed.

**2.4 Program Design**

- UAPS is intentionally designed to achieve predetermined student learning and development outcomes.
  - Org chart on website

- New Student Orientation agenda
- Steps to Registration
- UAPS is intentionally designed to incorporate research and theories on student learning, development, and success.
  - Food pantry flyer/signs
  - Learning studio/tutoring logs
  - Admission Pros workshops
- UAPS is intentionally designed to respond to the needs of individuals, constituents, and populations with distinct needs.
  - Email, Phone and SSConnect
  - APs and website accessible
  - Offices are ADA compliant
  - Office signs in Braille
  - Online application
  - Paper/walk-in application available
- UAPS is intentionally designed to ensure access for students and designated clients
  - Email, Phone and SSConnect
  - APs and website accessible
  - Offices are ADA compliant
  - Office signs in Braille
  - Online application
  - Paper/walk-in application available

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

*Justification for 2.4 Rating:*

Group agreed on a rating of “2”. No action is needed.

**Overview Questions:**

1. What are the goals and objectives of UAPS? *Newly established Admission’s department, no goals/objectives yet.*
2. To what extent does the UAPS structure allow it to be effective? *Department in Student Services, full staff, combined recruitment with Admissions, added graphic design position, added receptionist positions, employees in Student Success Center or high traffic areas*
3. What are the key programs, services, and resources offered by UAPS? *Recruitment, admission, NSO, registration, steps to registration, website, catalog, APs, SSConnect*
4. How does UAPS contribute to the student experience? *UAPS provides “access” to higher education*

**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
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
4. Map of program activities and ways they connect to student learning, development, and success outcomes

**3.1 Program Contribution to Student Learning, Development, and Success**

- Undergraduate Admissions Programs and Services (UAPS) contributes to students’ formal education, which includes both curricular and co-curricular experiences.
  - New Student Orientation
    - Survey—Requires student to use critical thinking

- Check-in Spreadsheets
    - Agendas
    - Photos/Social Media
  - Welcome Kits
  - Email Communications
  - SSConnect lists
  - Sign-in Sheets
  - Phone logs
  - Welcome/Acceptance letters
  - Admission Pros Communication Logs—Require students to use critical thinking
  - Kuder-Journey Reports
- UAPS contributes to students' progression and timely completion of educational goals.
  - Welcome packets
  - Calendars/Planners
  - Deadlines posted in print and social media posts
  - Website
  - SSConnect logs
  - Educational Goals on Application
  - Spreadsheets comparing goals to actions
  - 15 to finish signs
  - SS events calendar
  - Recruitment schedules
  - NSO agendas
  - Call logs/emails/SSConnect logs
  - Spreadsheets of non-registered students
- UAPS helps students and designated clients prepare for their careers and meaningful contributions to society.
  - Kuder-Journey logs
  - NSLS Leadership Training Day Curriculum and attendance Logs
  - Food Pantry assistance
  - Student admissions applications
  - Farmers to Families volunteer list
- UAPS works with the institution to identify relevant and desirable student success outcomes.
  - Unit meeting agenda and minutes
  - Strategic Enrollment Committee
    - Strategic Enrollment Plan
  - Spreadsheets on Enrollment (10-year analysis)
  - Argos Reports
- UAPS identifies relevant and desirable student learning and development outcomes.
  - Strategic Enrollment Plan
  - NSO Evaluations
  - Student Goals on Application
  - Referrals to Foundation and Community Resources
    - Call logs
    - Emails
  - Food pantry usage
  - Disclaimers on Recruitment materials
  - NSO Agenda
- UAPS implements strategies and tactics to achieve the student learning, development, and success outcomes.
  - Strategic Enrollment Plan
  - NSO Evaluations
  - Student Goals on Application
  - Referrals to Foundation and Community Resources
    - Call logs

- Emails
- Food pantry usage
- Disclaimers on Recruitment materials
- NSO Agenda

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

*Justification for 3.1 Rating:*

Group agreed on a rating of “2”. No action is needed.

### 3.2 Student Learning and Development Domains and Dimensions

- UAPS aligns predetermined student learning and development outcomes with the CAS learning outcomes model or other recognized student learning and development models.
  - N/A at this moment
- UAPS aligns predetermined student learning and development outcomes with the institutional framework for student outcomes.
  - Admission Pros
  - Recruitment
  - NSO Surveys

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

*Justification for 3.2 Rating:*

Group agreed upon a rating of 1. Admissions has general educational outcomes with Admission Pros. We just started the CAS process in 2022.

### 3.3 Assessment of Student Learning and Development

- UAPS assesses the student learning and development outcome domains and dimensions relevant to the functional area.
  - Admission Pros, ACT, SAT, Accuplacer, New Student Orientation survey
- UAPS provides evidence of the extent to which student learning and development outcomes are achieved.
  - Admission Pros, ACT, SAT, Accuplacer, New Student Orientation survey
- UAPS provides evidence of the extent to which student success outcomes are achieved.
  - Yield rates from acceptance to registration
  - Yield rates from registration to enrollment
  - Applications received—Banner/Argos reports
- UAPS uses evidence to create strategies for improving student learning, development, and success.
  - Unit meetings to determine strategies of improvement

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

*Justification for 3.3 Rating:*

Group agreed on a rating of “2”. No action is needed.

**Overview Questions:**

1. What are the most significant student learning, development, and success outcomes of UAPS?
2. What is the demonstrated impact of UAPS on student learning, development, and success?

**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
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**

- Undergraduate Admissions Programs and Services (UAPS) develops assessment plans and processes that document progress toward achievement of mission, goals, outcomes, and objectives.
  - [SEMP Document](#)
  - [NSO surveys](#)
  - [Weekly Tracking of Enrollment](#)
  - [Spreadsheet from SSConnect for visitor traffic times](#)
  - [CAS assessment](#)
- UAPS designs assessment plans that incorporate an ongoing cycle of assessment activities.
  - [Yes, SEMP Document](#)
- UAPS has fiscal, human, professional development, and technological resources to develop and implement assessment plans.
  - [CAS Training – With Darrell Taylor](#)
  - [SEMP Meetings 4 times per year](#)
  - [Admission Pros Training](#)
  - [BANNER Training](#)

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

*Justification for 4.1 Rating:*

[Group agreed on a rating of “2”. No action is needed.](#)

**4.2 Program Goals, Outcomes, and Objectives**

- UAPS identifies goals, outcomes, and objectives to guide its work.
  - [SEMP](#)
  - [Director Meetings Agendas/Minutes](#)
  - [Unit Meetings Agendas/Minutes](#)
- UAPS assesses and evaluates the abilities, needs, and expectations of prospective students as they move from secondary to postsecondary education, as they move from one postsecondary institution to another, or as they return from a period of non-enrollment.
  - [ACCUPLACER, ACT, SAT, Career Exploration Data](#)
- UAPS identifies assessment methods that will allow for the collection of relevant data on its goals, outcomes, and objectives.
  - [ACCUPLACER, ACT, SAT, Career Exploration, See College Catalog for Placement Guide](#)
- UAPS employs data-based strategic enrollment management principles when identifying prospective students.
  - [Admission Pros](#)
  - [CSSO Spreadsheets](#)

- BANNER
- When collaborating with other departments on assessment activities, the activities are consistent with the UAPS mission and assessment plan.
  - SEMP
  - NSO
  - Workshops

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

*Justification for 4.2 Rating:*

Group agreed on a rating of “2”. Activities are consistent with the assessment, but working to develop the mission statement and goals.

**4.3 Assessment Plan and Process**

- UAPS sets program goals, outcomes, and objectives
  - SEMP
  - Annual Performance Evaluations
  - CAS
  - Director Meeting Agendas and Minutes
- UAPS develops and implements an assessment plan.
  - SEMP Document
  - NSO Evaluations
  - Annual Performance Evaluations
  - CSSO Spreadsheets tracking enrollment
  - CAS
- UAPS reviews and interprets findings of assessment initiatives.
  - SEMP
  - CAS
  - Student Success Committee Agendas and Minutes
  - Directors Meetings Minutes
- UAPS develops a plan for data use, continuous improvement, and reassessment
  - SEMP
  - ARGOS Reports
  - Governance Day Agendas
  - Workshops and Conferences
  - CAS
- UAPS implements an improvement.
  - SEMP Document
  - Admission Pros
  - Calls logs
  - SSConnect logs
  - CAS
- UAPS reviews and monitors changes that have been made based on assessment results.
  - SEMP
  - Call logs
  - CAS
  - SSConnect logs
  - Admission Pros
  - CSSO Spreadsheets tracking enrollment
- UAPS implements the assessment process with methods that reflect universal design principles.



- SEMP
- Admission Pros
- Disclaimer on all recruitment documents
- UAPS employs ethical practices in the assessment process.
  - Disclaimer on all recruitment documents
  - State employees Ethics Act
  - HR Orientation Materials
- UAPS implements assessment processes in a way that is culturally responsive, inclusive, and equitable.
  - NSO Evaluations
  - Disclaimer on all recruitment documents
  - State employees Ethics Act
  - HR Orientation Materials
- UAPS engages students, faculty, staff, administrators, and other relevant constituents in assessment activities.
  - Strategic Enrollment Committee
  - SEMP
  - CAS Standards
  - NSO
  - Required Activities
    - SGA, Governance Day, Professional Development
  - HS Tours
- UAPS works collaboratively with the registrar and institutional research staff when analyzing yield and conversion rates and other related data for admitted students.
  - Admission Pros Training
  - BANNER Training
  - CSSO Enrollment Spreadsheet

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

*Justification for 4.3 Rating:*

Group agreed upon a rating of 2. No action needed.

**4.4 Gathering Evidence** All the following can be found in the SEMP Document

- UAPS identifies priorities for assessment, including both formative and summative approaches.
  - SEMP, both
  - NSO Evaluations, summative
  - Admission Pros, both
  - CSSO Spreadsheets, both
- UAPS employs multiple methods and measures of data collection.
  - SEMP
  - NSO Evaluations
  - Admission Pros
  - Recruitment Cards/Spreadsheets
  - CSSO Spreadsheets
  - CAS
  - Argos Reports
- UAPS develops manageable processes for gathering, interpreting, and evaluating data.
  - SEMP Document
  - CAS
  - SEMP Agendas and Minutes
  - NSO Meeting Agendas and Minutes

- UAPS adheres to institutional policies related to data access and management.
  - SCP policies on website
  - Title IX
  - FERPA training
  - WV Code of Ethics
- UAPS ensures measures and methods are rigorous and reflect characteristics of validity, reliability, and trustworthiness.
  - Recruitment Cards/Spreadsheets
  - Admission Pros Data Reports
  - Argos Reports
  - CSSO Spreadsheets

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

*Justification for 4.4 Rating:*

Group agreed on a rating of “2”. No action is needed.

#### 4.5 Review and Interpret Findings

- UAPS uses methods to analyze and interpret data that correspond with objectives and questions considered within overall assessment goals.
  - SEMP Document/Updates
  - CAS
  - Argos Reports
  - Enrollment Projections (SEMP)
  - CSSO Spreadsheets
  - Admission Pros Reports
- UAPS disaggregates data to address the objectives and questions considered in the assessment project.
  - SEMP Document
  - Argos Reports
  - CAS
  - Enrollment Projections (SEMP)
  - CSSO Spreadsheets
  - Admission Pros Reports

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

*Justification for 4.5 Rating:*

Group agreed on a rating of “2”. No action is needed.

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

- UAPS uses assessment results to demonstrate learning, development, and success.
  - SEMP Document/Updates
  - CAS process and Self Study Report
  - NSO Evaluations
  - CSSO Spreadsheets
- UAPS uses assessment results to demonstrate effectiveness and continuous improvement.
  - SEMP Document/Updates

- CAS process and Self Study Report
- NSO Evaluations
- CSSO Spreadsheets
- UAPS uses evidence from assessment activities to inform decision-making and planning for continuous improvement.
  - SEMP Document/Updates
  - CAS Process and Self Study Report
  - NSO Evaluations
  - CSSO Spreadsheets
- UAPS monitors improvements implemented based on assessment results.
  - SEMP Document/Updates
  - CAS Process and Self Study Report
  - NSO Evaluations
  - CSSO Spreadsheets
- UAPS applies results for future planning.
  - SEMP Document/Updates
  - CAS Process and Self Study Report
  - NSO Agendas and Minutes
  - Director meeting Agenda and Minutes
  - CSSO Spreadsheets
- UAPS informs constituents of assessment results and how data have been used for continuous improvement.
  - SEMP Document/Updates
  - HLC Reports/Updates
  - Student Success Committee Agendas and Minutes

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

*Justification for 4.6 Rating:*

Group agreed on a rating of "2". No action is needed.

**Overview Questions:**

1. What is the comprehensive assessment strategy for UAPS?
2. What are priorities for assessment of UAPS 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 UAPS use assessment results to inform improvement? What changes, adjustments, or improvements have been made as a result of assessment activities?
4. How does UAPS share assessment results with relevant constituencies?
5. How does UAPS 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.**

- Undergraduate Admissions Programs and Services (UAPS) 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, policy SEP 2843 – Sothern’s Website and College Catalog third page
- UAPS 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.
  - HR conducts new employee orientation that covers affirmative action, Title IX, Section 504, policy SEP 2843 – Sothern’s Website and College Catalog third page

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

*Justification for 5.1 Rating:*  
Group agreed on a rating of “2”. No action is needed.

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

- UAPS provides equitable access to facilities and resources for all constituents.
  - Affirmative Action 3rd page of Catalog
- UAPS responds to the needs of all constituents when establishing hours of operation and developing methods for delivering programs, services, and resources.
  - The Admission Team responds face to face, email, phone logs, SSConnect logs
- UAPS identifies and addresses actions, policies, and structures within its operation that perpetuate systems of privilege and oppression. Identify any problems that occur in Admission Pro’s and constantly improving the process

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

*Justification for 5.2 Rating:*  
Group agreed on a rating of “2”. No action is needed.

**5.3 Advocating for Access, Equity, Diversity, and Inclusion – The following is all answered with the Affirmative Action College Catalog 3<sup>rd</sup> page.**

- UAPS advocates for accessible facilities and resources and addresses issues that impede access.
- UAPS advocates for inclusion, multiculturalism, and social justice within the institution.
- UAPS enacts culturally responsive, inclusive, respectful, and equitable practices in the provision of services.
- UAPS develops plans for ongoing professional development on cultural competence and workplace inclusion.
  - Currently, Admissions hasn’t provided the professional development regarding inclusion and diversity, but plans to do so.

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

	Unable to Rate				
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*Justification for 5.3 Rating:*

Group agreed on a rating of 1. Criteria is met partially, but plans for professional development are in the making.

#### 5.4 Implementing Access, Equity, Diversity, and Inclusion

- UAPS establishes goals for access, equity, diversity, and inclusion.
  - SEMP
  - Student Success Committee minutes
- UAPS accurately describes and depicts images of the diversity of the institution in admission material and media.
  - Recruitment Materials
  - Admissions Materials
  - Welcome Kits
- UAPS addresses the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices.
  - Extended registration
  - Media releases on extended registration
    - Radio Ads
    - Social Media Ads
    - Print publications
  - Actual hours open
  - Decreased tuition for dual credit, ECA, and senior citizens
  - Online application and paper-based application
  - Digital and physical admissions materials
  - Welcome Kits
- UAPS 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
- UAPS personnel demonstrate an awareness of and sensitivity to the unique social, cultural, and economic circumstances of students.
  - Admissions meeting minutes
  - Food Pantry
  - Gear UP and TANF activities
- UAPS has an established protocol for, and fosters expectations of, bias incident reporting.
  - No
- Personnel within UAPS cultivate understanding of identity, culture, self-expression, and heritage.
  - Not sure how to show
- UAPS personnel recognize and appreciate individual differences among students and integrate an understanding of this information into the recruitment relationship.
  - Recruitment materials
  - List of recruitment events
- Personnel within UAPS promote respect for commonalities and differences among people within their historical and cultural contexts.
  - Recruitment materials
  - List of recruitment events
- When educational and/or workplace accommodations are requested, UAPS provides individuals with an interactive process to determine reasonable accommodations.
  - Employee Handbook
- Students inquiring about disability services accommodations are referred to appropriate institutional personnel resources.
  - Recruitment Materials
  - Website for Disability Services

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

*Justification for 5.4 Rating:*

Group agrees on a rating of 1. Area needs improvement.

**Overview Questions:**

1. How does UAPS ensure constituents experience a welcoming, accessible, and inclusive environment that is equitable and free from harassment?
2. How does UAPS identify barriers to and advocate for access, equity, diversity, and inclusion?
3. How does UAPS address imbalances in participation among selected populations of students?
4. How does UAPS address imbalances in staffing patterns among selected populations of program personnel?
5. How does UAPS ensure cultural competence of its personnel to foster inclusion in the program?

**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**

- Undergraduate Admissions Programs and Services (UAPS) leaders model ethical behavior and demonstrate alignment with institutional mission, goals, and ethical practices.
  - Admissions Code of Ethics
  - State Code of Ethics
  - Disclaimer on Recruitment Materials
  - Annual Performance Evaluations
- UAPS 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
- UAPS leaders create a vision for the functional area.
  - Unit Meeting Agenda and Minutes
  - Department Meeting Agenda and Minutes
  - Monthly Reports
- UAPS leaders communicate goals.
  - Unit Meeting Agenda and Minutes
  - Department Meeting Agenda and Minutes
  - Monthly Reports
  - Annual Performance Evaluations
  - SEMP Document
- UAPS leaders model and expect commitment.

- Professional Development
- Committee Memberships
- Unit Leader Resume in HR
- Department Leader Resume in HR
- UAPS leaders build teams, coalitions, and alliances.
  - Recruitment Calendar
  - FA Presentations and Visits to Local Schools
  - Unit Meeting Agenda and Minutes
  - Food Bank, Food Pantry, Coat Drive Flyers
  - CAS Documentation
- UAPS 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
- UAPS leaders advance diversity, equity, access, and inclusion goals in the workplace.
  - WV Code of Ethics
  - Disclaimer on Recruitment Materials
  - SCP on Website
  - Annual Performance Evaluations
- UAPS leaders incorporate data and information in decision making.
  - SEMP
  - Director Meeting Agenda and Minutes
  - Department Meeting Agenda and Minutes
- UAPS leaders develop a risk management plan for the organization.
  - Unit follows College's Risk Management Plan
  - SCP Policies on Website
- UAPS leaders incorporate sustainable practices in the design of programs, services, and facilities.
  - Admission Pros
  - Call Logs
  - SSConnect Logs
- UAPS leaders develop and empower new leaders from within the organization.
  - Governance Day Agenda
  - Job Postings
  - Organizational Chart
  - Governance Day Committee Memberships
- UAPS 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
- UAPS leaders adhere to organizational constraints.
  - Unit Budget
  - Department Budgets
  - Organization Chart
  - Employee Handbook
  - SCP Policies on Website
- UAPS leaders advocate for and actively promote the functional area's mission and goals.
  - SEMP Document
  - Social Media Posts
  - Student Services Summit Agenda
  - HS Visits/College Visits/College Tours
- UAPS leaders communicate with constituents about current issues affecting the profession.



- Directors Meeting Agenda and Minutes
- Governance Day Committee Memberships
- UAPS leaders identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement.
  - Department Meeting Agenda and Minutes
  - SEMP Document
  - Student Success Committee Agenda and Minutes
- UAPS 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
- UAPS 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. There are a few we are unable to answer until a mission statement is created and implemented.

**6.2 Management**

- UAPS managers are empowered to demonstrate effective management.
  - Directors' meeting minutes
  - Budgets in BANNER
  - KRONOS approvals
  - Annual Performance Evaluations
- UAPS 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
- UAPS 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
- UAPS 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 on a rating of "2". No action is needed.

### 6.3 Supervision

- UAPS 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)
- UAPS 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
- UAPS supervisors provide feedback on personnel performance.
  - Annual Performance Reviews
  - Emails Between UAPS employees
- UAPS supervisors identify and resolve workplace conflict.
  - Annual Performance Reviews, Title IX, Grievance process
- UAPS supervisors follow institutional policies for addressing complaints.
  - College Catalog
  - SCPs
    - SCP-4001 Student Consumer Protection Policy
    - SCP-4770 Student Rights and Responsibilities
    - Student Grievance Procedure
    - Student Handbook
    - AH/Nursing Student Handbooks
- UAPS supervisors provide reports and activity updates to management.
  - Directors' Meetings Agendas/Minutes
  - Director of Admissions Monthly Reports
  - UAPS Annual Report to CSSO
  - Student Services Annual Report
- UAPS supervisors work with personnel to develop plans for scholarship, leadership, and service to the profession and institution.
  - Trainings
  - SS Summit
  - Conference Attendance
    - WVACRAO Membership
    - CSSO WVACRAO Keynote Speaker 2021
    - WVASPA/WVTRIO Conference Attendance
    - Student Success Summit
      - Conference Presentation on SSConnect
- UAPS 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 on a rating of "2". No action is needed.

#### 6.4 Strategic Planning

- 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 UAPS.
  - [SEMP Document and updates](#)
  - [Strategic Plan Document and updates](#)
  - [College Mission and Vision on 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](#)
  - [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 on a rating of "2". No action is needed.

**Overview Questions:**

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

**Part 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**

- Undergraduate Admissions Programs and Services (UAPS) identifies the level of staffing necessary to achieve its mission and goals.
  - Websites and org charts of sister institutions
  - Organizational Chart
  - Enrollment date
- UAPS is staffed by individuals qualified to accomplish its mission and goals.
  - HR files of employees, professional development, Student Services Summit, conferences
- UAPS has access to technical and support personnel to accomplish its mission.
  - Organizational Chart
- UAPS 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.
  - HR files of employees
- UAPS personnel have an understanding of the proper administration and uses of standardized tests and are able to interpret test scores and test-related data to students, parents, families, educators, institutions, agencies, and the public.
  - Catalog
  - ACT test administrators
  - Accuplacer
  - Testing chart guideline

- When evaluating undergraduate applications, UAPS personnel are able to interpret transcripts with honors courses, AP or CLEP credits.
  - Registrar communication and collaboration
- When evaluating undergraduate applications, UAPS personnel understand the needs of students with unique pre-collegiate experiences.
  - Open door admissions policy

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

*Justification for 7.1 Rating:*

Group agreed upon a rating of 1. We need to develop a mission statement and goals.

**7.2 Employment Practices**

- UAPS establishes procedures and expectations for personnel recruitment, selection, training, supervision, performance, and evaluation.
  - HR files
    - Performance evaluations
- UAPS leaders ensure that all personnel have written position descriptions.
  - HR files
- UAPS leaders regularly review position descriptions.
  - Performance Evaluations
- UAPS leaders maintain copies of up-to-date resumes/curriculum vitae for all currently employed personnel.
  - HR files
- UAPS 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
- UAPS leaders develop promotion practices that are fair, inclusive, proactive, and non-discriminatory.
  - HR files
  - Posting locations (HR files)
  - Diversity policy
  - ADA and EOE statements
- UAPS compensates personnel in the form of a fixed salary, rather than commissions or bonuses based on the number of students recruited.
  - HR salary comparisons
  - WVCTCS website has salaries listed
- UAPS does not contract secondary school personnel for remunerations for referred students.
  - DNA
- UAPS 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 UAPS.

- Annual performance reviews

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

*Justification for 7.2 Rating:*

Group agreed on a rating of “2”. No action is needed.

### 7.3 Personnel Training and Development

- UAPS personnel receive training when hired and professional development throughout their employment.
  - Yes, they have a new employee orientation. Admission Team receive professional development and attend Governance Days four times a year
- UAPS personnel engage in continuing professional development activities.
  - Governance Day Agenda
  - SS Professional Development lists
- UAPS provides personnel with appropriate professional development opportunities or resources.
  - Governance Day Agenda
  - SS Professional Development lists
  - Purchase Orders and Travel Authorizations
- UAPS personnel have access to resources and receive specific training on policies, procedures, and laws related to the programs and services they support.
  - Governance Day Agenda
  - SS Professional Development lists
  - Purchase Orders and Travel Authorizations
- UAPS personnel have access to resources and receive specific training on policies, procedures, and laws related to privacy and confidentiality.
  - Governance Day Agenda
  - SS Professional Development lists
  - Purchase Orders and Travel Authorizations
- UAPS personnel have access to resources and receive specific training on policies, procedures, and laws related to student records and sensitive institutional information.
  - Governance Day Agenda
  - SS Professional Development lists
  - Purchase Orders and Travel Authorizations
- UAPS 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.
  - Governance Day Agenda
  - SS Professional Development lists
  - Purchase Orders and Travel Authorizations
  - Job descriptions
- UAPS personnel have access to resources and receive specific training on policies, procedures, and laws related to sexual misconduct, harassment, and workplace violence.
  - Governance Day Agenda
  - Title IX
  - SS Professional Development lists
  - Purchase Orders and Travel Authorizations
  - New Employee Orientation/HR Handbook
- UAPS provides appropriate training for staff involved with the processing of admission applications.
  - SS Professional Development lists
  - SEP 2843—Discrimination, Harassment, sexual harassment, sexual and domestic misconduct, stalking, and retaliation policy

- UAPS provides appropriate training to alumni and other volunteers who participate in the recruitment process to delineate their role in representing the institution with prospective students and their families.
  - N/A
- UAPS personnel are trained on how to recognize and address systems of oppression in the workplace and facilitate a welcoming, inclusive work environment.
  - Governance Day Agenda
  - SS Professional Development lists
  - Purchase Orders and Travel Authorizations
- UAPS 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.
  - Organizational Chart
- UAPS leaders ensure that personnel are knowledgeable about and trained in safety, emergency procedures, identifying threatening conduct or behavior, crisis prevention, response, and reporting.
  - Yes, Southern has a crisis management team and director

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 on a rating of "2". No action is needed.

#### 7.4 Paraprofessional Personnel

- Paraprofessionals working in UAPS are enrolled in an appropriate field of study and/or have relevant experience.
- Paraprofessionals working in UAPS are carefully selected, trained, supervised, and evaluated by personnel who possess applicable educational credentials, work experience, and have supervisory experience.
  - Work study orientation materials
- UAPS leaders accommodate the dual roles paraprofessionals may have as both student and employee.
  - Work study orientation materials
- UAPS leaders adhere to parameters of paraprofessionals' job descriptions.
  - Work study orientation materials
  - Work study job descriptions
- UAPS leaders articulate intended student learning and development outcomes in student employee job descriptions.
  - Work study orientation materials
  - Work study job descriptions
- UAPS leaders adhere to agree-upon work hours and schedules.
  - Kronos
- UAPS leaders offer flexible scheduling options as needed by the student employee.
  - Kronos
  - Email communications
- UAPS 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/ Unable to Rate	Does Not Meet	Partly Meets	Meets	2

*Justification for 7.4 Rating:*



Group agreed on a rating of “2”. No action is needed.

**Overview Questions:**

1. In what ways are personnel qualifications examined, performance evaluated, and recognition provided for exemplary performance?
2. How are professional development efforts designed, how do they support achievement of the UAPS mission, and how do they prepare and educate staff on relevant information?
3. How has the staffing model been developed to ensure successful functional area operations?
4. How does UAPS engage graduate interns and assistants, student employees, and volunteers?

**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**

- Undergraduate Admissions Programs and Services (UAPS) personnel collaborate and consult with institutional leaders, faculty, individuals, and departments essential to the success of the program.
  - Yes, Committee Agenda and Meeting Minutes
- UAPS works collaboratively with academic departments throughout the recruitment and enrollment process.
  - Yes, faculty attend recruitment events and high school visits
- UAPS personnel provide appropriate training to faculty and administrators about the admissions process and their role in the recruitment process.
  - Yes, Admission Pro’s training and update faculty when going out on recruitment events
- UAPS collaborates with individuals, groups, communities, and organizations.
  - Yes, Business after Business
- UAPS collaborates to garner support and resources.
  - Yes, Committee Agenda and Meeting Minutes
  - Director meeting minutes
  - Budget allocations
  - Christmas parade float
  - Purchase orders
  - Calendars of employees
  - Marketing materials
- UAPS collaborates to meet the needs of students, designated clients, and other constituents.
  - Yes, Committee Agenda and Meeting Minutes
  - Director meeting minutes
  - Budget allocations
  - Christmas parade float
  - Purchase orders
  - Calendars of employees
  - Marketing materials
- UAPS collaborates to achieve program and student outcomes.
  - Enrollment data
- UAPS collaborates to engage diverse populations to enrich the educational environment.
  - Yes, Committee Agenda and Meeting Minutes
  - Director meeting minutes
  - Budget allocations
  - Christmas parade float
  - Purchase orders

- Calendars of employees
- Marketing materials
- Supports “Stix” and “Strings and Things”
- UAPS collaborates to disseminate information about programs and services.
  - Marketing materials
  - Website
- UAPS collaborates to solve problems pertinent to the student population, designated clients, or the organization.
  - Yes, Committee Agenda and Meeting Minutes
  - Director meeting minutes
  - Budget allocations
  - Christmas parade float
  - Purchase orders
  - Calendars of employees
  - Marketing materials
- UAPS refers students, designated clients, and other constituents to appropriate resources when assistance is needed beyond the functional area’s scope.
  - Yes, Disability Services, Mental Health

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 on a rating of “2”. No action is needed.

## 8.2 Communication

- UAPS provides relevant information, services, and resources that explain its mission and goals.
  - No Mission or Goals
- UAPS works collaboratively with institutional marketing and communications departments in developing publications, websites, video, and other related media that accurately represent the institution to prospective students and their families.
  - Website
  - TV content
  - Marketing materials
  - Welcome Kit
- UAPS develops and implements strategies for outreach and promotion.
  - Yes, Monthly Unit Meetings
  - Directors meeting agendas and minutes
- UAPS promotional and descriptive information is accurate and free of deception and misrepresentation.
  - Yes, See Social Media and Website
  - Marketing materials
- UAPS cites the source and year of study when institutional publications and communications reference academic programs, academic rigor or reputations, or athletic rankings.
  - DNA
- UAPS personnel do not disseminate biased, unflattering, and/or potentially inaccurate information about other secondary or postsecondary institutions, their admission criteria, their curricular offerings, or other related information.
  - Correct...Marketing Materials
  - Website
  - Social media content

DNA	IE	0	1	2	Rating:

Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	<b>1</b>
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*Justification for 8.2 Rating:*

Group agreed upon a rating of 1. We need to develop a mission statement, and we will do so.

**8.3 Procedures and Guidelines**

- UAPS has and follows procedures and guidelines consistent with institutional policy for communicating with the media.
  - SCP-1002 Official College Spokesperson and Media Releases
- UAPS has and follows procedures and guidelines consistent with institutional policy for distributing information through print, broadcast, and online sources
  - SCP-1002 Official College Spokesperson and Media Releases
  - Marketing materials
  - Welcome Packs
  - No institutional policy
- UAPS has and follows procedures and guidelines consistent with institutional policy for the use of social media.
  - Social media content
  - No official procedures or guidelines
  - Email communications
- UAPS has and follows procedures and guidelines consistent with institutional policy for contracting with external organizations for delivery of programs and services.
  - MOUs
  - Finance paperwork
- UAPS has and follows procedures and guidelines consistent with institutional policy for developing relationships with donors.
  - NA
- UAPS has and follows procedures and guidelines consistent with institutional policy for dissemination of relevant information in a timely manner to all constituents.
  - SCP-1002 Official College Spokesperson and Media Releases

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

*Justification for 8.3 Rating:*

Group agreed on a rating of “2”. No action is needed.

**Overview Questions:**

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

**Part 9. 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**

- Undergraduate Admissions Programs and Services (UAPS) 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
- UAPS 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
- UAPS 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
- UAPS 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
- UAPS has clearly defined and documented ethical statements addressing research and assessment with human participants or animal subjects.
  - N/A
- UAPS 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
- UAPS 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
- UAPS has clearly defined and documented ethical statements addressing disclosure of information in student, personnel, and other designated clients’ records.
  - NACAC Code of Ethics and Professional Practices
  - WV State Code of Ethics
  - FERPA

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

*Justification for 9.1 Rating:*

Group agreed on a rating of “2”. No action is needed.

**9.2 Ethical Practice Yes to all the following**

- UAPS personnel employ ethical decision making in the performance of their duties.
  - Annual Performance Evaluations

- SS Unit meetings
- Director meetings
- Admissions Dept. meetings
- UAPS personnel do not offer or accept any reward or remuneration from a college, university, agency, or organization for placement or recruitment of students.
  - Correct
  - Budgetary documentation
- Except for Early Decision programs, UAPS does not require or ask secondary schools to indicate the order of prospective students' college or university preferences, and does not require or ask candidates to indicate the order of their college or university preferences.
  - DNA
- UAPS does not offer exclusive incentives that provide opportunities for students applying or admitted under Early Decision that are not available to students admitted under other admission options.
  - DNA
- UAPS develops and uses notification practices that protect the confidentiality of an applicant's admission or denial status.
  - Admission Pros
  - Open Admissions Policy
- UAPS 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
- UAPS personnel are honest, objective, and impartial in their interactions.
  - NACAC Code of Ethics and Professional Practices
  - WV State Code of Ethics
- UAPS 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
- UAPS encourages and provides a forum for personnel to address and report unethical behavior.
  - WV State Code of Ethics
  - WV Public Employees Grievance Board
  - HR Complaint Form
- UAPS addresses issues surrounding scholarly integrity.
  - N/A
- UAPS personnel perform duties within the scope of their position, training, expertise, and competence.
  - Employee HR files
- UAPS personnel make referrals when issues presented exceed the scope of their position.
  - Admissions Department Meeting minutes
  - Director's meeting minutes

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

*Justification for 9.2 Rating:*

Group agreed on a rating of "2". No action is needed.

### 9.3 Legal Obligations and Responsibilities

- UAPS 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
- In accordance with governmental laws, institutional policy, and standards of good practice, UAPS personnel who are concerned about student’s well-being ensure that they are referred to appropriate resources.
  - Directors’ Meeting Minutes
  - Training with new employees
- UAPS has a process for accessing legal advice needed for personnel to carry out their assigned responsibilities.
  - Risk Management
  - Bowles-Rice
  - Vendor Payments
  - Admission Team follow the colleges grievance policy
- UAPS does not discriminate based upon institutional policies, codes, or governmental laws.
  - ADA, Title IX, EOE statements
- UAPS 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	<b>2</b>

*Justification for 9.3 Rating:*

Group agreed on a rating of “2”. No action is needed.

**9.4 Policies and Procedures**

- UAPS has written policies and procedures on operations, transactions, or tasks that have legal implications.
  - N/A
- UAPS personnel establish policies with regard to the release of student names during the admission process. Any policy that authorizes the release of students’ names indicates that the release is made only with students’ permission and consistent with applicable laws and regulations.
  - FERPA
  - Admissions Application
  - Solomon Act
- UAPS 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 college has a timeline that is sent to all employees annually
- UAPS has policies and procedures consistent with institutional policy for responding to threats, emergencies, and crisis situations.
  - Admissions 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

*Justification for 9.4 Rating:*

Group agreed on a rating of "2". No action is needed.

### 9.5 Communication of Ethical and Legal Obligations

- UAPS educates new personnel to relevant ethical standards, statements of ethical practice, and related institutional policies and procedures.
  - [HR New Employee Orientation](#)
  - [WV State Code of Ethics](#)
  - [NACAC Code of Ethics and Professional Practices](#)
  -
- UAPS informs its users of ethical and legal obligations and limitations emanating from codes and laws or from licensure requirements.
  - [Southern's website](#)
- UAPS personnel provide students, designated clients, and constituents with information about student privacy rights and personnel's disclosure obligations.
  - [FERPA, College Catalog Pg. 186](#)
  - [Annual FERPA disclosure statement from Registrar](#)
- UAPS creates ongoing opportunities to explore and examine basic ethical beliefs important to the functional area.
  - [Admissions Department Meeting Minutes](#)
  - [SS Unit list of professional development](#)
  - [Governance Day Agenda](#)
- UAPS informs personnel about internal and external governance organizations that affect the functional area.
  - [Governance Handbook](#)
  - [WVACRAO Membership](#)
  - [ACRAO Membership](#)
  - [NACAC Code of Ethics and Professional Practices](#)
  - [Org Chart](#)
- UAPS informs personnel about professional liability insurance options and refer them to external sources if the institution does not provide coverage.
  - [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 on a rating of "2". No action is needed.

### 9.6 Addressing Harassment and Hostile Environments

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



- NSO Agenda
- Clery Report
- Equal Opportunity, Harassment, and Nondiscrimination Policy
- UAPS adheres to institutional policies and procedures regarding sexual misconduct, harassment, and workplace violence
  - Equal Opportunity, 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	<b>2</b>

*Justification for 9.6 Rating:*

Group agreed on a rating of “2”. No action is needed.

**Overview Questions:**

1. What is the UAPS strategy for managing student and personnel confidentiality and privacy issues?
2. How are ethical dilemmas and conflicts of interest identified and addressed?
3. How are ethics incorporated into the daily management and decision-making processes of UAPS?
4. What are the crucial legal, policy and, governance issues faced by UAPS, 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**

- Undergraduate Admissions Programs and Services (UAPS) has the funding that is necessary to accomplish its mission and goals.
  - FY2022 budget was appropriate for meeting objectives—Budget spreadsheets on S-drive
- UAPS determines with administrative leadership what funding is necessary.
  - Meeting minutes and agendas
    - Cabinet
    - Director’s Meetings

▪ Admissions Meeting

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 on a rating of "2". No action is needed.

**10.2 Financial Planning**

- In establishing and prioritizing funding resources, UAPS 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
  - Admission's meeting minutes
  - Enrollment (Recruitment/Retention/Completion)
  - Tours
  - Number of applications
  - Reduced complaints
  - Duplicates almost eliminated
- UAPS uses the budget as a planning tool to reflect commitment to the mission and goals of the functional area and of the institution.
  - Budget spreadsheets
  - Recruitment logs
  - HS Visits
  - Promotional products
- UAPS 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.
  - 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 on a rating of "2". No action is needed.

**10.3 Financial Management**

- UAPS manages funds in accordance with established governmental laws and institutional policies, procedures, and guidelines.
  - Series 5000
- UAPS demonstrates responsible stewardship and use of fiscal resources.
  - End of year balances
  - Budget spreadsheets
  - Banner Finance online
- UAPS has procedures and guidelines consistent with institutional policy for applying to and managing funds from external resources.
  - N/A

- UAPS is provided with the institutional and financial resources to assist with professional development of personnel.
  - Governance Day Agenda
  - Governance Day logs
  - Student Services Summit Agenda
  - Admission Pros Training on Calendars, Emails.
  - Parchment Training on Calendars, Emails.
- UAPS procurement procedures are consistent with institutional policies.
  - Series 5000
  - Purchase orders
  - Sign Now
  - Receiving documentation
- UAPS procurement procedures ensure that purchases comply with laws and codes for usability and access.
  - Series 5000
- UAPS procurement procedures ensure that the institution receives value for the funds spent.
  - Series 5000
  - Receiving documentation
- UAPS 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	<b>2</b>

*Justification for 10.3 Rating:*

Group agreed on a rating of "2". No action is needed.

**Overview Questions:**

1. What is the funding strategy for UAPS, and why is this the most appropriate approach?
  - a. Enrollment
  - b. Strategic Plan
  - c. Strategic Enrollment Plan
  - d. Transparent budgets and process
2. How does UAPS ensure fiscal responsibility, responsible stewardship, and cost-effectiveness?
  - a. Banner
  - b. Purchase orders
3. If applicable, how does UAPS go about increasing financial resources?
  - a. Increase enrollment
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
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

- Undergraduate Admissions Programs and Services (UAPS) has current technology to support the achievement of its mission and goals.
  - Yes, however we do not have a mission and goals
  - IT hardware lists
  - Office Software
  - BANNER
  - Admission Pros
- UAPS incorporates accessibility features into technology-based programs and services.
  - Yes, The IT departments ensures this process is correct
  - Accessibility Report to WVDHHR
- UAPS 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
- UAPS backs up data on a cycle established in partnership with the institution’s information technology department.
  - Admissions Pros and BANNER backed up by professionals
- UAPS implements a replacement plan and cycle for all technology with attention to sustainability.
  - Yes, IT has the cycle plan

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

*Justification for 11.1 Rating:*

Group agreed upon a rating of 1. We need goals and a mission, and plan to establish both.

### 11.2 User Engagement

- UAPS uses technology to enhance the delivery of programs and services for all constituents.
  - Admission Pros
    - Online applications
    - Online acceptance letters
    - Automated Emails
  - BANNER
  - Recruitment Emails
  - Marketing Materials
  - Printed Posters
  - TV and Social Media Content
- UAPS ensures that technology addresses constituent needs.
  - Admission Pros
    - Online applications
    - Online acceptance letters
    - Automated Emails
  - BANNER
  - SSConnect Employee Surveys
  - SSConnect Student Surveys
  - Recruitment Emails
  - Marketing Materials
  - Printed Posters
  - TV and Social Media Content
- UAPS employs technologies that facilitate user interaction.
  - Admission Pros Communication Logs

- [SSConnect Student Surveys](#)
- UAPS provides secure remote access.
  - [Yes, The IT department handles all remote access](#)
  - [BANNER and AdmissionPros login requirements](#)

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

*Justification for 11.2 Rating:*

[Group agreed on a rating of "2". No action is needed.](#)

### 11.3 Compliance and Information Security

- UAPS has policies on the appropriate use of technology that are clear and easily accessible.
  - [SCP list on website](#)
- UAPS complies with governmental codes and laws and with institutional technology policies and procedures.
  - [SCP list on website](#)
  - [FERPA](#)
- UAPS 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	<b>2</b>

*Justification for 11.3 Rating:*

[Group agreed on a rating of "2". No action is needed.](#)

### 11.4 Communication

- UAPS has updated websites that provide information to all constituents in accessible formats.
  - [Website](#)
- UAPS uses technology that allows users to communicate sensitive information in a secure format.
  - [IT protocols for privacy](#)
  - [Email](#)
  - [SSConnect/Zoom documentation](#)
- UAPS evaluates relevant social media platforms and techniques for communication, and implement those that best meet constituent needs.
  - [Yes, Communication and Marketing Department](#)
- UAPS evaluates multiple modes of communications including, but not limited to, phone, text, and web chat.
  - [Yes, we also have SSConnect](#)

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

*Justification for 11.4 Rating:*

[Group agreed on a rating of "2". No action is needed.](#)

### Overview Questions:

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

- Undergraduate Admissions Programs and Services (UAPS) facilities are located in suitable spaces designed to support the UAPS mission and goals.
  - Yes, however we do not have Mission or Goals
  - Layout of building A and Williamson Campus Applied Technology
- UAPS facilities are intentionally designed to engage various constituents, promote learning, and provide accessible and safe spaces.
  - Facilities survey
  - Clery reports
  - WVDHHR Accessibility Report
- UAPS 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
- UAPS incorporates universal design principles.
  - DNA
- UAPS facilities are designed and constructed to be energy-efficient and sustainable.
  - Office spaces are new (building layout)
  - 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	<b>1</b>

*Justification for 12.1 Rating:*

Group agreed upon a rating of 1. We need to develop a mission and goals.

### **12.2 Work Space**

- UAPS personnel have equipped and well-maintained workspaces designed to support their work and responsibilities.
  - IT hardware inventory
  - Facilities survey
  - Employee files in HR
- UAPS personnel are able to safeguard the privacy of their work.
  - All office doors have locks
  - Employees have filing cabinets
  - IT documentation on privacy

- 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 on a rating of "2". No action is needed.

### 12.3 Equipment Acquisition **Yes to the following**

- When acquiring capital equipment, UAPS takes into account expenses related to regular maintenance and life cycle costs.
  - Purchase Orders
  - IT maintenance schedules
- UAPS incorporates sustainable practices when purchasing equipment.
  - IT approval on all purchase orders
  - 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 on a rating of "2". No action is needed.

### 12.4 Facilities and Equipment Use

- UAPS 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 Marshal Visits
- UAPS promptly reports broken, malfunctioning, defective, unusable, or faulty facilities and equipment to the entity responsible for maintenance.
  - Campus Director Safety Reports
- UAPS develops sustainable practices for facilities use.
  - DNA
- UAPS assesses the effectiveness of its facilities to ensure they are meeting facilities and equipment goals.
  - Admission Pros
  - Rearrangement of office spaces
- UAPS 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 on a rating of "2". No action is needed.

**Overview Questions:**

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

## 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.

<b>Part</b>	<b>Discrepancies</b>	<b>Resolution/Final Decision</b>
1. Mission	Group agrees on a rating of 0	Develop an admissions mission statement
2. Program and Services	Group agrees on a rating of 2	No action needed
3. Student Learning, Development, and Success	Group agrees on a rating of 2	No action needed
T4. Assessment	Group agrees on a rating of 2	No action needed
5. Access, Equity, Diversity, and Inclusion	Group agrees on a rating of 1	Improvement in access and implementing diversity, equity, and inclusion
6. Leadership, Management, and Supervision	Group agrees on a rating of 2	Missions and goals need to be created in order to advocate
7. Human Resources	Group agrees on a rating of 2	No action needed
8. Collaboration and Communication	Group agrees on a rating of 2	Needs mission and goals
9. Ethics, Law, and Policy	Group agrees on a rating of 2	No action needed
10. Financial Resources	Group agrees on a rating of 2	No action needed
11. Technology	Group agrees on a rating of 2	Needs mission and goals
12. Facilities and Infrastructure	Group agrees on a rating of 2	Needs mission and goals

## 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	Standards of good practice regarding our program and services include SS Connect, Admission Pros, New Student Orientation, Welcome Packets, recruitment, social media posts, marketing, advertisement, and promotions.
3. Student Learning, Development, and Success	The admissions program contributes to students' curricular and co-curricular experiences. Standards of good practice regarding our student learning, development, and success include the Admission Pros online application. Our Welcome Packets also include important information for the students; such as our steps to registration and facts about the institution. We also provide a New Student Orientation program to give new students the opportunity to become acquainted with the college. Students will also be accessed. Kudor Journey, a program offered by our career services, is also made available for students whom may be undecided. We also offer SS Connect, a virtual student service platform.
4. Assessment	The admissions 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 FERPA and WV Code of Ethics.
5. Access, Equity, Diversity, and Inclusion	
6. Leadership, Management, and Supervision	Demonstrates effective management through means of annual performance evaluation, department meetings, strategic planning, professional development, and communication skills. Leader empowers professional growth and follows institutional policies.
7. Human Resources	UAPS maintains necessary staffing, including student work study, to meet the college's admissions 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	Admissions 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, the college's website, and Zoom.
12. Facilities and Infrastructure	Admissions 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 admissions team will develop a mission statement and goals.
2. Program and Services		
3. Student Learning, Development, and Success		
4. Assessment		
5. Access, Equity, Diversity, and Inclusion	1	To provide professional development for admission staff; and advocate and implement access, equity, diversity, and inclusion by creating goals.
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

Admissions 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

#### Part 3. Student Learning, Development, and Success

#### Part 4. Assessment

#### Part 5. Access, Equity, Diversity, and Inclusion

Admissions will align its plan for access, equity, diversity, and inclusion within our department goals. By focusing on access, equity, diversity, and inclusion; our goal is to promote all forms of equality.

#### 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



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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 admissions mission statement and goals	Admissions department	2024
Access, Equity, Diversity, and Inclusion needs improvement	Will provide professional development and training for staff, and create goals pertaining to equality and diversity.	Admissions department	2024

## UNDERGRADUATE ADMISSIONS PROGRAMS AND SERVICES

### CAS Standards and Guidelines

*Guiding Principle: Students and Their Environments*

#### **Part 1. MISSION**

##### *1.1 Programs and Services Mission*

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

UAPS must develop and define its mission.

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

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

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

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

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

##### *1.2 Mission Statement*

UAPS 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*

Undergraduate Admissions Programs and Services (UAPS) must be guided by a set of written goals and objectives that are directly related to the stated mission.

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

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

UAPS must develop and regularly review enrollment goals for admission with appropriate individuals within the institution.

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

##### *2.2 Program Information and Services*

**UAPS must include**

- recruitment, admission, and enrollment criteria, procedures, and strategies
- information about the institution, academic programs, and admissions policies

**Recruitment, Admission, and Enrollment Criteria, Procedures, and Strategies**

**UAPS must establish, promulgate, and implement admission criteria that accurately represent the mission, goals, purposes and resources of the institution, and that accommodate the abilities, needs, and interests of potential students.**

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

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

UAPS should establish procedures to review and admit, as appropriate, applicants with criminal and disciplinary records in compliance with applicable governmental law.

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

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

UAPS should have targeted recruitment plans for groups such as

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

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

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

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

**Information About the Institution, Academic Programs, and Admissions Policies**

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

**UAPS must clearly and accurately present the mission, goals, policies, procedures, facilities, and characteristics of the institution.**

**UAPS must accurately represent and promote the institution by providing current, factual, and accurate information about**

- descriptions of majors, minors, concentrations and/or interdisciplinary academic offerings, as well as information about separate admissions to majors

- information about bridge programs, dual high school/college enrollment programs, diploma, certificate, and other special admissions programs
- financial aid
- housing application and deposit deadlines
- other related services

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

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

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

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

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

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

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

**UAPS must develop and implement strategies for outreach and promotion.**

### ***2.3 Program Structure and Framework***

**UAPS 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

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

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

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

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

### ***2.4 Program Design***

**UAPS 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

### **Part 3. STUDENT LEARNING, DEVELOPMENT, AND SUCCESS**

#### ***3.1 Program Contribution to Student Learning, Development, and Success***

Undergraduate Admissions Programs and Services (UAPS) must contribute to students' formal education, which includes both curricular and co-curricular experiences.

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

UAPS professional personnel should be competent in providing assistance to prospective students regarding their educational goals, including, but not limited to

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

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

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

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

UAPS must implement strategies and tactics to achieve these outcomes.

#### ***3.2 Student Learning and Development Domains and Dimensions***

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

UAPS 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](http://www.cas.edu/learningoutcomes)) for examples of outcomes related to these domains and dimensions.]

### *3.3 Assessment of Student Learning and Development*

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

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

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

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

## **Part 4. ASSESSMENT**

### *4.1 Establishing a Culture of Assessment*

Undergraduate Admissions Programs and Services (UAPS) must develop assessment plans and processes that document progress toward achievement of mission, goals, outcomes, and objectives.

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

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

### *4.2 Program Goals, Outcomes, and Objectives*

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



**UAPS must assess and evaluate the abilities, needs, and expectations of prospective students as they move from secondary to postsecondary education, as they move from one postsecondary institution to another, or as they return from a period of non-enrollment.**

UAPS should seek feedback about admission processes from relevant participants including prospective students, faculty, staff, and families.

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

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

UAPS should use predictive modeling to identify prospective students and yield data when evaluating the effectiveness of specific recruitment programs and admissions strategies.

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

#### ***4.3 Assessment Plan and Process***

**UAPS 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

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

**UAPS must employ ethical practices in the assessment process.**

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

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

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

#### ***4.4 Gathering Evidence***

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

**UAPS must employ multiple methods and measures of data collection.**

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

**UAPS must adhere to institutional policies related to data access and management.**

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

#### *4.5 Review and Interpret Findings*

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

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

#### *4.6 Reporting Results and Implementing Improvement*

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

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

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

UAPS must monitor improvements implemented based on assessment results.

UAPS must apply results for future planning.

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

#### *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, Undergraduate Admissions Programs and Services (UAPS) 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.

UAPS 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*

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

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

UAPS 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*

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

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

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

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

### *5.4 Implementing Access, Equity, Diversity, and Inclusion*

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

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

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

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

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

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

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

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

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

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

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

Students inquiring about disability services accommodations must be referred to appropriate institutional personnel resources.

*Guiding Principle: Organization, Leadership, and Human Resources*

## **Part 6. LEADERSHIP, MANAGEMENT, AND SUPERVISION**

### ***6.1 Leadership***

Undergraduate Admissions Programs and Services (UAPS) leaders must model ethical behavior and demonstrate alignment with institutional mission, goals, and ethical practices.

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

UAPS 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

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

UAPS 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***

UAPS 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***

UAPS 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*

UAPS 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*

Undergraduate Admissions Programs and Services (UAPS) must identify the level of staffing necessary to achieve its mission and goals.

UAPS 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).

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

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

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

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

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

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

**When evaluating undergraduate applications, UAPS personnel must**

- **be able to interpret transcripts with honors courses, AP or CLEP credits**
- **have an understanding of the needs of students with unique pre-collegiate experiences**

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

### *7.2 Employment Practices*

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

**UAPS 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**

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

**UAPS 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 UAPS 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 UAPS.**

### *7.3 Personnel Training and Development*

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

**UAPS 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.**



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

**UAPS 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

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

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

UAPS professional personnel should be knowledgeable about

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

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

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

**UAPS 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.**

**UAPS 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 UAPS must be enrolled in an appropriate field of study and/or have relevant experience.**

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

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

**UAPS 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***

Undergraduate Admissions Programs and Services (UAPS) personnel must collaborate and consult with institutional leaders, faculty, individuals, and departments essential to the success of the program.

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

UAPS 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

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

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

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

### ***8.2 Communication***

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

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

UAPS must develop and implement strategies for outreach and promotion.

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

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



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

### *8.3 Procedures and Guidelines*

UAPS 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*

Undergraduate Admissions Programs and Services (UAPS) must review and adopt appropriate standards of ethical practice including those of applicable professional associations.

UAPS 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*

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

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

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

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

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

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

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

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

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

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

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

**UAPS must address issues surrounding scholarly integrity.**

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

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

### ***9.3 Legal Obligations and Responsibilities***

**UAPS 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.**

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

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

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

**UAPS 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***

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

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

**UAPS 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.**

UAPS 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*

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

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

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

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

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

UAPS 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*

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

UAPS must 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*

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

UAPS must determine with administrative leadership what funding is necessary.

#### *10.2 Financial Planning*

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

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

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

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

UAPS 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*

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

UAPS must demonstrate responsible stewardship and use of fiscal resources.

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

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

UAPS 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*

Undergraduate Admissions Programs and Services (UAPS) must have current technology to support the achievement of its mission and goals.

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

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

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

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

### *11.2 User Engagement*

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

UAPS personnel should utilize appropriate technologies when recruiting students, including, but not limited to, social networking, broadcast text messages, instant messaging, electronic financial aid resources, and student record-keeping.

UAPS must ensure that technology addresses constituent needs.

UAPS must employ technologies that facilitate user interaction.

UAPS must provide secure remote access.

### *11.3 Compliance and Information Security*

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

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

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

### *11.4 Communication*

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

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

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

UAPS 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*

Undergraduate Admissions Programs and Services (UAPS) facilities must be located in suitable spaces designed to support the functional area's mission and goals.

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

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

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

UAPS must incorporate universal design principles.

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

### *12.2 Work Space*

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

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

### ***12.3 Equipment Acquisition***

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

**UAPS must incorporate sustainable practices when purchasing equipment.**

### **12.4 Facilities and Equipment Use**

**UAPS 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.**

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

**UAPS must develop sustainable practices for facilities use.**

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

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

*General Standards revised in 2018;  
UAPS content developed/revised in 1987, 1997, & 2010*

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