Council for the
Advancement of Standards in Higher Education

www.cas.edu

We are pleased you are interested in the Standards and Guidelines developed by the Council for the Advancement of Standards in Higher Education (CAS). This CAS member association has permission to post a link to this standard on their website. Standards are developed through a consensus model of member associations and other experts, including the association on whose page this link is found. You are invited to use the attached CAS statement in the design and assessment of your programs and for your staff training and development. *This statement may not be duplicated for other purposes without permission from CAS.*

This standard and all other standards are available along with information on self-assessment procedures in the most recent edition of the ***CAS Professional Standards for Higher Education*** book. You are particularly encouraged to examine the learning and developmental outcomes (see www.cas.edu and in the standards book) in the design and assessment of your programs.

This standard has a Self Assessment Guide (SAG) available for purchase from www.cas.edu for use in program evaluation.

CAS MISSION STATEMENT

The mission of the Council for the Advancement of Standards in Higher Education (CAS) is to promote the improvement of programs and services to enhance the quality of student learning and development. CAS is a consortium of professional associations who work collaboratively to develop and promulgate standards and guidelines and to encourage self-assessment.

CAS STANDARDS AND GUIDELINES

Each CAS standard contains 12 common criteria categories (referred to as "general standards") that have relevance for each and every functional area, no matter what its primary focus. In addition to the general standards, all functional area standards are comprised of both specialty standards and guidelines. All standards use the auxiliary verbs "**must**" and "**shall**" and appear in **bold print** so that users can quickly identify them. Guidelines are designed to provide suggestions and illustrations that can assist in establishing programs and services that more fully address the needs of students than those mandated by a standard. CAS guidelines appear in regular font and use the auxiliary verbs "should" and "may."

OVER THIRTY YEARS OF PROFESSIONAL SERVICES

The Council for the Advancement of Standards in Higher Education (CAS) has been the pre-eminent force for promoting standards in student affairs, student services, and student development programs since its inception in 1979. For the ultimate purpose of fostering and enhancing student learning, development, and achievement and in general to promote good citizenship, CAS continues to create and deliver a dynamic and credible Book of Professional Standards and Guidelines and Self-Assessment Guides that are designed to lead to a host of quality-controlled programs and services. These standards respond to real-time student needs, the requirements of sound pedagogy, and the effective management of 43 functional areas, consistent with institutional missions. Individuals and institutions from nearly 40 CAS member organizations comprise a professional constituency of over 100,000 professionals.

DISCLAIMER

The standards and guidelines published in "The Book of Professional Standards for Higher Education" by the Council for the Advancement of Standards in Higher Education (CAS) and referred to in each of the "CAS Self-Assessment Guides" (SAGs) are developed through the voluntary efforts of leaders of professional associations in higher education. The purpose of the standards and guidelines is to identify criteria and principles by which institutions may choose to assess and enhance various areas of their academic, administrative, or student affairs programs and services. CAS specifically disclaims any liability or responsibility for any perceived or actual shortcomings inherent in the text or application of the standards. Further, CAS does not certify individuals nor accredit programs. No institution, whether it has met some or all of the CAS standards, is authorized to indicate that it is "approved, endorsed, certified, or otherwise sanctioned by CAS." Institutions that have conducted a self-assessment of one or more functional areas addressed by CAS Standards and Guidelines using the appropriate CAS Self-Assessment Guide (SAG) may, where that self-assessment provides evidence that an institution meets these standards, are free to make accurate representations to the effect that the designated program or service meets the CAS Standards.

Direct your questions to the CAS Executive Office, One Dupont Circle NW Suite 300 Washington, DC 20036-1188, 202-862-1400, (email contact: Marybeth Drechsler Sharp, Executive Director, www.cas.edu)

The Role of Transfer Student Programs and Services

CAS Contextual Statement

The increasing number of students moving between institutions, coupled with national and international attention focused on degree completion, shows the importance of examining higher education programs and services that enhance the success of transfer students. This document establishes guidelines for institutions as they develop and execute policies and procedures related to services for transfer students. Because there is no prototypical transfer student, each institution must determine the approach for providing services that best fits its mission and resources. Therefore, this document is not prescriptive but is intended to define the scope of services needed to create a transfer-friendly culture that meets students' individual goals. The concepts within these standards are applicable for "sending" and "receiving" institutions as well as any transfer scenario.

Transfer includes various pathways, including (a) lateral transfer (transfer to the same type of institution, e.g., 2-year to 2-year, as the one in which a student is currently or previously enrolled); (b) vertical transfer (transferring from a 2-year institution to a four-year institution with the intent of completing a bachelor's degree); or (c) reverse transfer (transfer from a 4-year institution to a 2-year institution) (Poisel & Marling, 2011). It is not uncommon for students to "swirl" between and among institutions taking courses from more than one institution either simultaneously or consecutively as they attempt to achieve their educational goals. The services mentioned within these standards are expected to address all types of transfer students, including those enrolled in online courses.

The numbers of college students in the United States on a transfer track at a community college or as transfer students at a 4-year campus account for one-third of entering students (NACAC, 2010). In California, the number of transfer students moving from 2-year to 4-year institutions is the same as those moving in the reverse direction (Hagedorn, 2010). Nearly 60 percent of college graduates in the U.S. have attended more than one college or university (Adelman, 2009). Although not all of these individuals are considered transfer students, the high percentage underscores the importance of developing sound practices to facilitate transfer student success.

Not only are transfer students a large percentage of the higher education population but postsecondary institutions are also being challenged by legislatures throughout the U.S. and Canada to increase degree completion rates. U.S. President Obama has set a national goal that "America will regain its lost ground and have the highest proportion of students graduating from college in the world by 2020" (http://www.whitehouse.gov/issues/education/). The National Governors Association has urged colleges and universities to produce improved outcome and progress metrics, including the tracking of transfer students (Reyna, 2010). An emphasis on student mobility is not limited to the U.S., as demonstrated by efforts on behalf of the European Action Scheme for the Mobility of University Students (Erasmus), University Mobility in Asia Pacific (UMAP) (Junor & Usher, 2008), the British Columbia Council on Admissions and Transfer (BCCAT), and other provincial associations (Stewart & Martinello, 2012).

Although moving from a 2-year to 4-year institution is the most prevalent transfer pathway (Handel, 2011), it is important to note that the CAS standards and guidelines for transfer

student programs and services are intended to apply to the services available to all transfer students, regardless of their institutions of origin, credential acquisition, or educational goals. For example, it is recommended that community colleges and 4-year institutions collaborate to develop a reverse awarding of degrees process by which students earning enough credits for their associate's degree post-transfer are reverse-awarded their associate's degree by their community college. This is just one example of how the provision of services for transfer students is quite complex. These standards aspire to provide for a range of scenarios about the transfer process.

Understandably, there is an underlying focus on degree completion. Increasing the persistence and graduation rates of transfer students is accomplished by effectively preparing students for planned and unplanned transitions between institutions; helping them anticipate areas where change is more likely to occur; and identifying early in the process their personal, academic, financial, and social goals as well as factors that may inhibit or facilitate success. Early intervention is critical to mitigating the negative effects of transfer shock (Thurmond, 2007), a temporary dip in grade point average during the first and sometimes second semester post transfer (Hills, 1965).

Prior to the last decade, there was a dearth of literature about transfer issues; however, a number of studies since that time have produced valuable information about the migration patterns and success rates of transfer students (Jacobs, Cutright, Niebling, Simon, & Marling, 2010). As a result, transfer student issues have secured a firm place on the national higher education agenda (NACAC, 2010).

Most notably, researchers (Handel, 2009, 2011; Handel & Herrera, 2007; Jain, Herrera, Bernal, & Soloranzo, 2001) have brought into focus the need for community colleges to create a transfer-going culture that respects students' academic goals while creating well-articulated and -communicated pathways for pursuing a baccalaureate degree. Similarly, 4-year colleges and universities are encouraged to provide a transfer-receptive culture that respects students' previous experiences and offers services tailored to their unique needs. All institutions are encouraged to set high expectations for transfer student success and degree completion and ensure that policies and practices lead to positive outcomes. The literature on transfer student success provides good examples of such policies and practices.

To better understand how services for transfer students can be infused into institutional culture, Taylor Smith and Miller (2009) explored the characteristics, practices, and policies of community colleges that contribute to success of students prior to and after transferring to a 4-year institution. Studying six community college campuses, they found programs appearing to contribute to higher-than-expected transfer rates had three common characteristics: structured academic pathway, student-centered culture, and culturally sensitive leadership. Taylor Smith and Miller's recommendations for implementing positive practices and strategies include

- collaborative campus programming
- administrative offices as support and service centers
- data-driven decision making
- faculty engagement in the transfer process
- rewards for personnel who value students
- a culture of performance and accountability

Yet, more must be done to support students' transition between institutions and to strengthen the transfer pathway. Handel (2011) offered three strategies for 4-year institutions: (a) create an institution-wide vision that includes transfer students, (b) value transfers in outreach, admission, and academic and student affairs comparably to first-year students, and (c) understand that the needs of transfer students may be different from those of first-year students. The report (Handel, 2011) also addressed initiating or improving transfer at 4-year colleges and universities through the following recommendations:

- provide explicit institutional leadership and commitment to the transfer pathway
- offer ongoing outreach and preparation for staff and students
- implement user-friendly admission and enrollment processes
- educate on financial aid options
- strengthen the connection of student and academic affairs resources, programs, and services

The successful provision of services for transfer students requires intra- and inter-institutional collaboration among multiple stakeholders across functional lines focused on facilitating transfer student success. It is critical to have a unified and widely communicated institutional approach to providing transfer students services that may result in provision of services directly by a designated department (e.g., a transfer center) or as a function of multiple departments. To facilitate seamless transfer, it is also important to consider creating state/provincial approaches to service delivery and policy. To this end, the CAS standards and guidelines are intended to be aspirational, with the understanding that implementation will vary by state/region/province in response to existing policies, practices, and resources.

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TRANSFER STUDENT PROGRAMS AND SERVICES

CAS Standards and Guidelines

Part 1. MISSION

The mission of Transfer Student Programs and Services (TSPS) is to aid in the successful transfer, persistence, and graduation of transfer students. To accomplish the mission, TSPS must facilitate seamless pathways among and within institutions to support transfer students at all stages of their transitions.

Through the provision of TSPS, the institution's culture becomes one that is supportive and inclusive of transfer students.

TSPS must develop, disseminate, implement, and regularly review their missions. The mission must be consistent with the mission of the institution and with professional standards. The mission must be appropriate for the institution's student populations and community settings. Mission statements must reference student learning and development.

Part 2. PROGRAM

The formal education of students, consisting of the curriculum and the co-curriculum, must promote student learning and development outcomes that are purposeful, contribute to students' realization of their potential, and prepare students for satisfying and productive lives.

Transfer Student Programs and Services (TSPS) must collaborate with colleagues and departments across the institution to promote student learning and development, persistence, and success.

Consistent with the institutional mission, TSPS must identify relevant and desirable student learning and development outcomes from among the six domains and related dimensions:

Domain: knowledge acquisition, integration, construction, and application

- **Dimensions: understanding knowledge from a range of disciplines; connecting knowledge to other knowledge, ideas, and experiences; constructing knowledge; and relating knowledge to daily life**

Domain: cognitive complexity

- **Dimensions: critical thinking, reflective thinking, effective reasoning, and creativity**

Domain: intrapersonal development

- **Dimensions: realistic self-appraisal, self-understanding, and self-respect; identity development; commitment to ethics and integrity; and spiritual awareness**

Domain: interpersonal competence

- **Dimensions: meaningful relationships, interdependence, collaboration, and effective leadership.**

Domain: humanitarianism and civic engagement

- **Dimensions: understanding and appreciation of cultural and human differences, social responsibility, global perspective, and sense of civic responsibility**

Domain: practical competence

- **Dimensions: pursuing goals, communicating effectively, technical competence, managing personal affairs, managing career development, demonstrating professionalism, maintaining health and wellness, and living a purposeful and satisfying life**

[LD Outcomes: See *The Council for the Advancement of Standards Learning and Developmental Outcomes* statement for examples of outcomes related to these domains and dimensions.]

TSPS must

- **assess relevant and desirable student learning and development**
- **provide evidence of impact on outcomes**
- **articulate contributions to or support of student learning and development in the domains not specifically assessed**
- **articulate contributions to or support of student persistence and success**
- **use evidence gathered through this process to create strategies for improvement of programs and services**

TSPS must be

- **intentionally designed**
- **guided by theories and knowledge of learning and development**
- **integrated into the life of the institution**
- **reflective of developmental and demographic profiles of the student population**
- **responsive to needs of individuals, populations with distinct needs, and relevant constituencies**
- **delivered using multiple formats, strategies, and contexts**

Where institutions provide distance education, TSPS must assist distance learners to achieve their educational goals by providing access to information about programs and services, to staff members who can address questions and concerns, and to counseling, advising, or other forms of assistance.

TSPS must

- **serve as a contact for transfer students throughout the application, acceptance, and transfer processes**
- **connect students to appropriate institutional academic and behavioral policies and procedures**
- **facilitate cooperation between institutions to help students align their programs of study to enable a timely and successful transfer**
- **advocate for improvement of institutional articulation agreements and/or curricular alignment depending on the particular institution's policies**
- **know how to apply applicable laws, regulations, and policies related to the successful transfer of students**
- **inform key partners about policies and practices that maximize transfer student success**
- **provide access to professional advisors, faculty members, counselors, and staff support to help transfer students engage in and develop college and long-term academic, career, and life goals**
- **advocate for equitable enrollment and flexible class scheduling and delivery methods**
- **review informational materials for accessible and accurate information about transfer policies, processes, scholarships and affordability, course equivalencies, and programs**
- **disseminate informational material to transfer students and to institutional personnel supporting transfer students**
- **participate in recruitment events to communicate with prospective students about transfer and articulation**
- **collaborate with partners to prioritize programming specific to the needs of transfer students during the first-year and throughout their time at the institution**
- **collaborate with stakeholders to address transfer student success, retention, and degree completion**

TSPS programming should address topics that are pivotal to the successful transfer of students to and from their institution.

Particular attention should be paid to programming specific to the transfer student's first year. Topics could include

- demographics of the institution's transfer students (including first-generation and veteran status)
- institutional academic support services and other learning assistance programs
- eligibility for and promotion of leadership opportunities and awards for students
- student money management, academic resources, financial aid, and scholarships
- living options (both on and off campus), learning communities, and theme halls

TSPS should ensure that the institution provides support for transfer-intending students and current transfers by offering the following opportunities:

- advising regarding the institution's admission process and application for admission
- assistance as needed in orientation and academic advising

- early-alert systems, intrusive advising, academic support, transfer-year seminars and student success courses, peer mentoring, and other transition services

TSPS should provide informal transcript evaluations so that prospective students can gauge their academic standing before committing to an institution.

TSPS should work with Residence Life/Housing to develop opportunities for new residential transfer students to be paired with or mentored by other transfer students

Part 3. ORGANIZATION AND LEADERSHIP

To achieve student and program outcomes, Transfer Student Programs and Services (TSPS) must be structured purposefully and organized effectively. TSPS must have

- **clearly stated goals**
- **current and accessible policies and procedures**
- **written performance expectations for employees**
- **functional work flow graphics or organizational charts demonstrating clear channels of authority**

TSPS cross-functional and divisional reporting lines must be located in the organizational department or division that can best provide effective programming and services for achievement of the mission.

Leaders with organizational authority for the programs and services must provide strategic planning, supervision, and management; advance the organization; and maintain integrity through the following functions:

Strategic Planning

- **articulate a vision and mission that drive short- and long-term planning**
- **set goals and objectives based on the needs of the population served and desired student learning or development and program outcomes**
- **facilitate continuous development, implementation, and assessment of goal attainment congruent with institutional mission and strategic plans**
- **promote environments that provide meaningful opportunities for student learning, development, and engagement**
- **develop and continuously improve programs and services in response to the changing needs of students served and evolving institutional priorities**
- **intentionally include diverse perspectives to inform decision making**

Supervising

- **manage human resource processes including recruitment, selection, development, supervision, performance planning, evaluation, recognition, and reward**
- **influence others to contribute to the effectiveness and success of the unit**
- **empower professional, support, and student staff to accept leadership opportunities**
- **offer appropriate feedback to colleagues and students on skills needed to become more effective leaders**

- **encourage and support professional development, collaboration with colleagues and departments across the institution, and scholarly contribution to the profession**

TSPS leaders should
- be involved in research, publication, presentations, consultation, and relevant professional organizations
- communicate with professional colleagues in the transfer student field and related areas

Managing
- **identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement**
- **plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources**
- **use current and valid evidence to inform decisions**
- **incorporate sustainability practices in the management and design of programs, services, and facilities**
- **understand appropriate technologies and integrate them into programs and services**
- **be knowledgeable about codes and laws relevant to programs and services and ensure that staff members understand their responsibilities through appropriate training**
- **assess potential risks and take action to mitigate them**

TSPS leaders should provide informational resources that are easily accessed and that address the informational needs of transfer students and their families.

Advancing the Organization
- **communicate effectively in writing, speaking, and electronic venues**
- **advocate for programs and services**
- **advocate for representation in strategic planning initiatives at appropriate divisional and institutional levels**
- **initiate collaborative interactions with internal and external stakeholders who have legitimate concerns about and interests in the functional area**
- **facilitate processes to reach consensus where wide support is needed**
- **inform other areas within the institution about issues affecting practice**

TSPS leaders should
- identify examples of successful transfer students, including those who transferred from a community college, and integrate them as able into the operations of TSPS
- work with institutional leaders to plan courses and course sections to accommodate transfer student degree plans
- collaborate with key partners to influence institutional planning, policy, procedural, and fiscal decisions that affect transfer student articulation
- provide a voice for transfer student concerns on institutional committees

Maintaining Integrity
- **model ethical behavior and institutional citizenship**

- **share data used to inform key decisions in transparent and accessible ways**
- **monitor media used for distributing information about programs and services to ensure the content is current, accurate, appropriately referenced, and accessible**

TSPS leaders must serve as role models for transfer student transition to a new institution.

Part 4. HUMAN RESOURCES

Transfer Student Programs and Services (TSPS) must be staffed adequately by individuals qualified to accomplish mission and goals.

TSPS professional staff members must possess the skills and competencies needed to provide assistance to prospective and enrolled transfer students.

TSPS may include, but should not be limited to, the following competencies:

- effective advocacy for prospective and enrolled students
- ethical and objective presentation of the institution's programs and opportunities, including careful and concerned analysis of student goals
- clear understanding of likely student-institution compatibility
- guidance in responsible decision-making in the selection of an institution or degree program
- ability to explain and contextualize relevant academic policies and practices
- ability to articulate relevant cost and financial aid issues, especially since these may differ from policies at the student's current institution
- ability to manage human and fiscal resources, including creative thinking in the augmentation of these resources through strong collaboration skills and fundraising

At least one dedicated institutional employee should be identified as the primary contact and resource for transfer students and their families.

TSPS professional staff should be knowledgeable in the areas of transition issues, barriers to transfer, financial aid, and testing.

TSPS staff members should demonstrate knowledge of and sensitivity to the needs of non-traditional students, traditionally under-represented groups, academically underprepared students, international students, and veterans.

Staff members who provide services for transfer students should have working relationships with advisors, faculty, counselors, and staff as they help students think about academic, career, and life goals.

TSPS should include faculty in the development and delivery of programs for transfer students.

Within institutional guidelines, TSPS must

- **establish procedures for staff recruitment and selection, training, performance planning, and evaluation**

- **set expectations for supervision and performance**
- **assess the performance of employees individually and as a team**
- **provide access to continuing and advanced education and appropriate professional development opportunities to improve the leadership ability, competence, and skills of all employees.**

TSPS must maintain position descriptions for all staff members.

To create a diverse staff, TSPS must institute recruitment and hiring strategies that encourage individuals from under-represented populations to apply for positions.

TSPS must develop promotion practices that are fair, inclusive, proactive, and non-discriminatory.

To further the recruitment and retention of staff, TSPS must consider work life initiatives, such as compressed work schedules, flextime, job sharing, remote work, or telework.

TSPS professional staff members must hold an earned graduate or professional degree in a field relevant to the position they hold or must possess an appropriate combination of educational credentials and related work experience.

TSPS professional staff should have knowledge of theories of student learning, development, and transition.

TSPS professional staff members must engage in continuing professional development activities to keep abreast of the research, theories, legislation, policies, and developments that affect their programs and services.

TSPS must have technical and support staff members adequate to accomplish their mission. All members of the staff must be technologically proficient and qualified to perform their job functions, be knowledgeable about ethical and legal uses of technology, and have access to training and resources to support the performance of their assigned responsibilities.

Degree- or credential-seeking interns or graduate assistants must be qualified by enrollment in an appropriate field of study and by relevant experience. These individuals must be trained and supervised adequately by professional staff members holding educational credentials and related work experience appropriate for supervision. Supervisors must be cognizant of the roles of interns and graduate assistants as both student and employee and closely adhere to all parameters of their job descriptions, work hours, and schedules. Supervisors and the interns or graduate assistants must agree to compensatory time or other appropriate compensation if circumstances necessitate additional hours

Student employees and volunteers must be carefully selected, trained, supervised, and evaluated. They must be educated on how and when to refer those in need of additional assistance to qualified staff members and must have access to a

supervisor for assistance in making these judgments. Student employees and volunteers must be provided clear job descriptions, pre-service training based on assessed needs, and continuing development.

All TSPS staff members, including student employees and volunteers, must receive specific training on institutional policies pertaining to functions or activities they support and to privacy and confidentiality policies and laws regarding access to student records and other sensitive institutional information.

All TSPS staff members must receive training on policies and procedures related to the use of technology to store or access student records and institutional data.

TSPS must ensure that staff members are knowledgeable about and trained in emergency procedures, crisis response, and prevention efforts. Prevention efforts must address identification of threatening conduct or behavior of students, faculty and staff members, and others and must incorporate a system for responding and reporting.

TSPS must ensure that staff members are knowledgeable of and trained in safety and emergency procedures for securing and vacating facilities.

Part 5. ETHICS

Transfer Student Programs and Services (TSPS) must review relevant professional ethical standards and must adopt or develop and implement appropriate statements of ethical practice.

TSPS must publish and adhere to statements of ethical practice and ensure their periodic review by relevant constituencies.

TSPS must orient new staff members to relevant ethical standards and statements of ethical practice and related institutional policies.

Statements of ethical standards must specify that staff members respect privacy and maintain confidentiality in all communications and records to the extent that such communications and records are protected under relevant privacy laws.

Statements of ethical standards must specify limits on disclosure of information contained in students' educational records as well as requirements to disclose to appropriate authorities.

Statements of ethical standards must address personal and economic conflicts of interest, or appearance thereof, by staff members in the performance of their work.

Statements of ethical standards must reflect the responsibility of staff members to be fair, objective, and impartial in their interactions with others.

Statements of ethical standards must reference management of institutional funds.

Statements of ethical standards must reference appropriate behavior regarding research and assessment with human participants, confidentiality of research and assessment data, and students' rights and responsibilities.

Statements of ethical standards must include the expectation that TSPS staff members confront and hold accountable other staff members who exhibit unethical behavior.

Statements of ethical standards must address issues surrounding scholarly integrity.

As appropriate, TSPS staff members must inform users of programs and services of ethical obligations and limitations emanating from codes and laws or from licensure requirements.

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

TSPS staff members must perform their duties within the limits of their position, training, expertise, and competence.

When these limits are exceeded, individuals in need of further assistance must be referred to persons possessing appropriate qualifications.

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

TSPS must adhere to institutional policies regarding ethical and legal use of software and technology.

TSPS staff members must work to create institutional culture, policies, curriculum, and standards that positively support the success of transfer students

TSPS staff members must

- **refrain from challenging another institution's services or information even if those services or information may be different from their own policies or programs**
- **avoid falsely representing their institution and academic standing for the sole reason of securing the transfer student's admittance**

TSPS documents used by admissions, academic advising and counseling, orientation, housing, personal counseling and testing, the registrar, and international student services must be accurate and handled with confidentiality.

Part 6. LAW, POLICY, AND GOVERNANCE

Transfer Student Programs and Services (TSPS) must be in compliance with laws, regulations, and policies that relate to their respective responsibilities and that pose

legal obligations, limitations, risks, and liabilities for the institution as a whole. Examples include constitutional, statutory, regulatory, and case law; relevant law and orders emanating from codes and laws; and the institution's policies.

TSPS staff members must understand and know how to apply appropriate laws, regulations, and policies that are specific to transfer students; including guaranteed admission policies, core curriculum policies, matriculation and articulation agreements, and policies specific to diverse student populations including veterans and first-generation students, and other agreements within and among institutions.

TSPS must inform staff members, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.

TSPS must have written policies on all relevant operations, transactions, or tasks that have legal implications.

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

TSPS staff members must use reasonable and informed practices to limit the liability exposure of the institution and its officers, employees, and agents. Staff members must be informed about institutional policies regarding risk management, personal liability, and related insurance coverage options and must be referred to external sources if the institution does not provide coverage.

The institution must provide access to legal advice for staff members as needed to carry out assigned responsibilities.

TSPS must have procedures and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations. Systems and procedures must be in place to disseminate timely and accurate information to students, other members of the institutional community, and appropriate external organizations during emergency situations.

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

TSPS must obtain permission to use copyrighted materials and instruments. TSPS must purchase the materials and instruments from legally compliant sources or seek alternative permission from the publisher or owner. References to copyrighted materials and instruments must include appropriate citations.

TSPS staff members must be knowledgeable about internal and external governance systems that affect programs and services.

TSPS staff members must ensure that all transfer policies, including an appeals process, are publicly available for review prior to the student's commitment to transfer.

TSPS should encourage 2-year and 4-year institutions to collaborate in the development of policies and processes to reverse-award associate degrees to students.

Part 7. DIVERSITY, EQUITY, AND ACCESS

Within the context of each institution's unique mission and in accordance with institutional polices and all applicable codes and laws, Transfer Student Programs and Services (TSPS) must create and maintain educational and work environments that are

- **welcoming, accessible, and inclusive to persons of diverse backgrounds**
- **equitable and non-discriminatory**
- **free from harassment**

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

TSPS must

- **advocate for greater sensitivity to multicultural and social justice concerns by the institution and its personnel**
- **modify or remove policies, practices, facilities, structures, systems, and technologies that limit access, discriminate, or produce inequities**
- **include diversity, equity, and access initiatives within their strategic plans**
- **foster communication that deepens understanding of identity, culture, self-expression, and heritage**
- **promote respect about commonalities and differences among people within their historical and cultural contexts**
- **address the characteristics and needs of a diverse population when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices**
- **provide staff members with access to multicultural training and hold staff members accountable for integrating the training into their work**
- **respond to the needs of all students and other populations served when establishing hours of operation and developing methods of delivering programs, services, and resources**
- **ensure physical, program, and resource access for persons with disabilities**
- **recognize the needs of distance learning students by providing appropriate and accessible services and resources or by assisting them in gaining access to other appropriate services and resources in their geographic region**

All transfer-related marketing and forms must clearly state student rights and responsibilities in the transfer process. Practices must be congruent with institutional policies on equal opportunity access.

TSPS should respect the diversity of students and their families, acknowledging the many different cultures and backgrounds represented by these individuals, and be prepared to identify resources for support both on campus and locally as needed.

TSPS should provide access to the institution's policies and procedures and resources in multiple language formats, including printed forms for families who do not have informational technology.

Part 8. INSTITUTIONAL AND EXTERNAL RELATIONS

Transfer Student Programs and Services (TSPS) must reach out to relevant individuals, groups, communities, and organizations internal and external to the institution to

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

TSPS must develop and maintain collaborative relationships between sending and receiving institutions.

TSPS must develop and maintain a relationship with those responsible for the orientation of new students.

TSPS should collaborate with those in charge of new student orientation programs and courses to meet the specific needs of transfer students.

TSPS must be aware of governmental units responsible for laws, policies, and regulations relevant to transfer matriculation and maintain relationships with them.

TSPS should partner with academic unit leadership to develop course acceptance and course applicability plans by major.

TSPS should partner with the academic and enrollment management functions to ensure timely evaluation and application of earned credits.

TSPS should advise prospective and enrolled transfer students about their responsibilities in achieving their goals.

TSPS should work with parent and family programs to inform family members about issues that impact the health, well-being, and success of students through a variety of communication methods.

TSPS should work with parent and family programs to provide a resource guide or handbook to address student-life topics of priority to the institution (e.g., drug and alcohol use, service-learning and study abroad opportunities, research opportunities, financial literacy, health and wellness), resources and benefits available to parents and families, institutional policies and procedures, the academic calendar, and support services.

TSPS must have procedures and guidelines consistent with institutional policy for

- **communicating with the media**
- **contracting with external organizations for delivery of programs and services**
- **cultivating, soliciting, and managing gifts**
- **applying to and managing funds from grants**

Part 9. FINANCIAL RESOURCES

Transfer Student Programs and Services (TSPS) must have funding to accomplish the mission and goals. In establishing funding priorities and making significant changes, a comprehensive analysis must be conducted to determine the following elements: unmet needs of the unit, relevant expenditures, external and internal resources, and impact on students and the institution.

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

TSPS should be funded at the same cost/student ratio as services for the institution's first-time, first-year student population.

TSPS may supplement institutional funding through the development of revenue sources such as fundraising, grants, and fees for services provided.

Part 10. TECHNOLOGY

Transfer Student Programs and Services (TSPS) must have adequate technology to support the achievement of their mission and goals. The technology and its use must comply with institutional policies and procedures and be evaluated for compliance with relevant codes and laws.

TSPS staff members should be trained in transfer specific technologies, including but not limited to digital transcript services.

TSPS must use current technology to provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and designated clients.

TSPS must explore the use of technology to enhance delivery of programs and services, especially for students at a distance or external constituencies.

When technology is used to facilitate student learning and development, TSPS must select technology that reflects intended outcomes.

TSPS must

- **maintain policies and procedures that address the security, confidentiality, and backup of data, as well as compliance with privacy laws**
- **have clearly articulated plans in place for protecting confidentiality and security of information when using Internet-based technologies**
- **develop plans for replacing and updating existing hardware and software as well as plans for integrating new technically-based or supported programs, including systems developed internally by the institution, systems available through professional associations, or private vendor-based systems**

Technology, as well as workstations or computer labs maintained by programs and services for student use, must be accessible to all designated clients and must meet established technology standards for delivery to persons with disabilities.

When providing student access to technology, TSPS must

- **have policies on the use of technology that are clear, easy to understand, and available to all students**
- **provide assistance, information, or referral to appropriate support services to those needing help accessing or using technology**
- **provide instruction or training on how to use the technology**
- **inform students on the legal and ethical implications of misuse as it pertains to intellectual property, harassment, privacy, and social networks**

If the institution equips first-time first-year students with specific technology, then the institution should provide new transfer students with the same technology.

Student violations of technology policies must follow established institutional student disciplinary procedures.

Students who experience negative emotional or psychological consequences from the use of technology must be referred to support services provided by the institution.

Part 11. FACILITIES AND EQUIPMENT

Transfer Student Programs and Services (TSPS) must have adequate, accessible, and suitably located facilities and equipment to support the mission and goals. If acquiring capital equipment as defined by the institution, TSPS must take into

account expenses related to regular maintenance and life cycle costs. Facilities and equipment must be evaluated on an established cycle, including consideration of sustainability, and be in compliance with codes and laws to provide for access, health, safety, and security.

TSPS staff members must have workspace that is well equipped, adequate in size, and designed to support their work and responsibilities. For conversations requiring privacy, staff members must have access to a private space.

TSPS staff members who share workspace must be able to secure their own work.

The design of the facilities must guarantee the security and privacy of records and ensure the confidentiality of sensitive information.

The location and layout of the facilities must be sensitive to the needs of persons with disabilities as well as the needs of other constituencies.

Part 12. ASSESSMENT AND EVALUATION

Transfer Student Programs and Services (TSPS) must have a clearly articulated assessment plan to document achievement of stated goals and learning outcomes, demonstrate accountability, provide evidence of improvement, and describe resulting changes in programs and services.

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

Assessments must include direct and indirect evaluation and use qualitative and quantitative methodologies and existing evidence, as appropriate, to determine whether and to what degree the stated mission, goals, and intended outcomes are being met as effectively and efficiently as possible. The process must employ sufficient and sound measures to ensure comprehensiveness. Data collected must include responses from students and other constituencies, and aggregated results must be shared with those groups. Results of assessments must be shared appropriately with multiple constituents.

TSPS must collaborate with appropriate partners to conduct research and collect data regarding transfer students. Results must be shared with students, staff, and faculty at both sending and receiving institutions.

TSPS should work to ensure there are processes to monitor and report annual persistence and graduation rates for all types of transfer students, including community college graduates and non-graduates as well as those who transfer from 4-year institutions.

TSPS should employ multiple methods to assess program effectiveness in meeting the needs of transfer-intending and current transfer students.

Results of assessments and evaluations must be used to identify needs and interests in revising and improving programs and services, recognizing staff performance, maximizing resource efficiency and effectiveness, improving student achievement of learning and development outcomes, and improving student persistence and success. Changes resulting from the use of assessments and evaluation must be shared with stakeholders.

TSPS should partner with institutional research/assessment personnel to ensure that assessment efforts are tracked.

General Standards revised in 2011;
TSPS content developed in 2012