

Thank you for your interest in the Standards and Guidelines developed by the Council for the Advancement of Standards in Higher Education (CAS). Standards are developed through a consensus model of member associations and industry experts. You are invited to use the attached materials in the design and assessment of your programs and for your staff training and development. ***These materials may not be duplicated or redistributed for other purposes without permission from CAS.***

These standards 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/learningoutcomes) in the design and assessment of your programs.

This set of standards has an accompanying Self-Assessment Guide (SAG) available for purchase from www.cas.edu for use in program evaluation

CAS MISSION STATEMENT

CAS, a consortium of professional associations in higher education, promotes the use of its professional standards for the development, assessment, and improvement of quality student learning, programs, and services.

CAS STANDARDS AND GUIDELINES

Each set of CAS standards 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 FORTY 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 success 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 over 45 functional areas, consistent with institutional missions. Individuals and institutions from more than 40 CAS member organizations comprise a professional constituency of over 115,000 professionals.

DISCLAIMER

The standards and guidelines published in *CAS 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, make accurate representations to the effect that the designated program or service meets the CAS Standards.

Please direct your questions to the CAS Executive Director (executive_director@cas.edu or 202-862-1400).

ACADEMIC ADVISING PROGRAMS

CAS Contextual Statement

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

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

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

As academic advising programs respond to a changing postsecondary environment, advising structures employed must include exemplary practices that pay particular attention to key institutional learning outcomes, serve the distinctive needs of a range of student populations, promote national agendas on degree completion (Drake et al., 2013), and contribute to our understanding of the impact of academic advising on student success. In addition, the increasing public attention placed on college completion

means increased visibility for academic advising. Reports such as *Guided Pathways to Success* (Complete College America, 2013) and *Show Me the Way: The Power of Advising in Community Colleges* (Center for Community College Engagement, 2018) point to the importance of academic advising to student success.

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

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

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

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

Academic Advising Programs Standards provide a framework for developing strong academic advising programs that support the complexity of the modern student.

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ACADEMIC ADVISING PROGRAMS

CAS Standards and Guidelines

Guiding Principle: Students and Their Environments

Part 1. MISSION

1.1 Programs and Services Mission

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

AAP must develop and define its mission.

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

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

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

1.2 Mission Statement

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

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

Part 2. PROGRAM AND SERVICES

2.1 Program and Services Goals

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

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

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

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

2.2 Program Information and Services

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

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

AAP advisors should offer advising sessions in a format that is

- private and safe

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

AAP must provide current and accurate advising information.

AAP must clarify institutional policies and procedures for students.

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

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

AAP must develop and implement strategies for outreach and promotion.

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

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

2.3 Program Structure and Framework

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

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

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

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

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

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

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

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

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

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

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

2.4 Program Design

AAP must be intentionally designed to

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

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

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

Part 3. STUDENT LEARNING, DEVELOPMENT, AND SUCCESS

3.1 Program Contribution to Student Learning, Development, and Success

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

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

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

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

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

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

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

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

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

AAP must advocate for appropriate resources to facilitate student success.

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

AAP must implement strategies and tactics to achieve these outcomes.

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

3.2 Student Learning and Development Domains and Dimensions

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

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

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

Domain: knowledge acquisition, integration, construction, and application

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

Domain: cognitive complexity

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

Domain: intrapersonal development

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

Domain: interpersonal competence

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

Domain: humanitarianism and civic engagement

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

Domain: practical competence

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

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

3.3 Assessment of Student Learning and Development

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

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

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

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

Part 4. ASSESSMENT

4.1 Establishing a Culture of Assessment

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

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

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

4.2 Program Goals, Outcomes, and Objectives

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

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

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

4.3 Assessment Plan and Process

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

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

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

AAP must employ ethical practices in the assessment process.

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

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

4.4 Gathering Evidence

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

AAP must employ multiple methods and measures of data collection.

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

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

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

4.5 Review and Interpret Findings

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

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

4.6 Reporting Results and Implementing Improvement

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

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

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

AAP must monitor improvements implemented based on assessment results.

AAP must apply results for future planning.

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

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

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

Part 5. ACCESS, EQUITY, DIVERSITY, AND INCLUSION

5.1 Inclusive and Equitable Educational and Work Environments

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

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

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

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

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

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

5.3 Advocating for Access, Equity, Diversity, and Inclusion

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

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

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

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

5.4 Implementing Access, Equity, Diversity, and Inclusion

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

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

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

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

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

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

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

Guiding Principle: Organization, Leadership, and Human Resources

Part 6. LEADERSHIP, MANAGEMENT, AND SUPERVISION

6.1 Leadership

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

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

AAP leaders must

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

AAP leaders must advance the functional area by

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

6.2 Management

AAP managers must

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

6.3 Supervision

AAP supervisors must

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

6.4 Strategic Planning

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

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

Part 7. HUMAN RESOURCES

7.1 Staffing and Support

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

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

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

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

Support personnel and technical staff responsibilities may include:

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

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

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

7.2 Employment Practices

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

AAP leaders must

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

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

Personnel within AAP must have written performance goals, objectives, and outcomes for each performance cycle to be used to plan, review, and evaluate work and performance. The performance plan must be updated regularly to reflect changes during the performance cycle.

Results of individual personnel evaluations must be used to recognize personnel performance, address performance issues, implement individual and/or collective personnel development and training programs, and inform the assessment of AAP.

7.3 Personnel Training and Development

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

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

Continuing and regular professional development should address

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

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

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

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

- **the programs and services they support**
- **privacy and confidentiality**
- **student records and sensitive institutional information**
- **systems and technologies necessary to perform their assigned responsibilities**
- **sexual misconduct, harassment, and workplace violence**

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

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

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

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

7.4 Paraprofessional Personnel

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

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

Paraprofessionals and peer advisors may assist advisors.

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

AAP leaders must

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

Part 8. COLLABORATION AND COMMUNICATION

8.1 Collaboration

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

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

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

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

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

8.2 Communication

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

AAP must develop and implement strategies for outreach and promotion.

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

8.3 Procedures and Guidelines

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

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

Guiding Principle: Ethical Considerations

Part 9. ETHICS, LAW, AND POLICY

9.1 Ethical Statements

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

AAP must have clearly defined and documented ethical statements addressing

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

9.2 Ethical Practice

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

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

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

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

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

AAP must address issues surrounding scholarly integrity.

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

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

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

9.3 Legal Obligations and Responsibilities

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

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

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

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

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

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

9.4 Policies and Procedures

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

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

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

9.5 Communication of Ethical and Legal Obligations

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

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

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

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

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

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

9.6 Addressing Harassment and Hostile Environments

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

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

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

Part 10. FINANCIAL RESOURCES

10.1 Funding

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

AAP must determine with administrative leadership what funding is necessary.

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

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

10.2 Financial Planning

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

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

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

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

10.3 Financial Management

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

AAP must demonstrate responsible stewardship and use of fiscal resources.

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

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

AAP procurement procedures must

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

Part 11. TECHNOLOGY

11.1 Systems Management

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

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

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

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

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

11.2 User Engagement

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

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

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

AAP must ensure that technology addresses constituent needs.

AAP must employ technologies that facilitate user interaction.

AAP must provide secure remote access.

11.3 Compliance and Information Security

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

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

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

11.4 Communication

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

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

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

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

Part 12. FACILITIES AND INFRASTRUCTURE

12.1 Design of Facilities

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

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

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

AAP must incorporate universal design principles.

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

12.2 Work Space

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

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

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

12.3 Equipment Acquisition

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

AAP must incorporate sustainable practices when purchasing equipment.

12.4 Facilities and Equipment Use

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

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

AAP must develop sustainable practices for facilities use.

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

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

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

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