Thank you for your interest 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 these standards 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 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 book *CAS Professional Standards for Higher Education*. You are particularly encouraged to examine the learning and developmental outcomes (see [www.cas.edu/learningoutcomes](http://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](http://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](mailto:executive_director@cas.edu) or 202-862-1400).
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 a framework 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 4-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 opposite 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.

In the current era, postsecondary institutions are being challenged by legislatures throughout the U.S. and Canada to increase degree completion rates. In the early 2010s, the Obama administration set a national goal that the U.S. would “regain its lost ground and have the highest proportion of students graduating from college in the world by 2020” (The White House, n.d.). 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, CAS standards recommend 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, institutions and lawmakers maintain 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 2000s, 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, 2006; Jain, Herrera, Bernal, & Soloranzo, 2011) 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 that programs appearing to contribute to higher-than-expected transfer rates shared three common characteristics: structured academic pathway, student-centered culture, and culturally sensitive leadership. Taylor Smith and Miller’s (2009) 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

Despite recent advances in literature and practice about transfer issues, 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 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 guidelines provide institutions an opportunity to be aspirational, with the understanding that implementation will vary by state/region/province in response to existing policies, practices, and resources.

REFERENCES


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TRANSFER STUDENT PROGRAMS AND SERVICES
CAS Standards and Guidelines

Guiding Principle: Students and Their Environments

PART 1. MISSION

1.1 Programs and Services Mission

The mission of Transfer Student Programs and Services (TSPS) must be 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 must become one that is supportive and inclusive of transfer students.

TSPS must develop and define its mission.

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

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

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

1.2 Mission Statement

TSPS 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

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

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

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

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

2.2 Program Information and Services

TSPS must provide relevant information, services, and resources consistent with its mission and goals.
TSPS must serve as a contact for transfer students throughout the application, acceptance, and transfer processes.

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

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 must connect students to appropriate institutional, academic, and behavioral policies and procedures.

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

TSPS must know how to apply applicable laws, regulations, and policies related to the successful transfer of students.

TSPS must facilitate cooperation between institutions to help students align their programs of study to enable a timely and successful transfer.

TSPS must advocate for improvement of institutional articulation agreements and/or curricular alignment depending on the particular institution’s policies.

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 must advocate for equitable enrollment and flexible class scheduling and delivery methods.

TSPS must collaborate with partners to prioritize programming specific to the needs of transfer students during the first-year and throughout their time at the institution.

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

Particular attention should be paid within TSPS to programming specific to the transfer student’s first year. Topics may 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 work with Housing and Residence Life to develop opportunities for new residential transfer students to be paired with or mentored by other transfer students.

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

**TSPS must review informational materials for accessible and accurate information about transfer policies, processes, scholarships and affordability, course equivalencies, and programs.**

**TSPS must disseminate informational material to transfer students and to institutional personnel supporting transfer students.**

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

**TSPS must participate in recruitment events to communicate with prospective students about transfer and articulation.**

### 2.3 Program Structure and Framework

TSPS 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

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

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.

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

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

### 2.4 Program Design

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

**PART 3. STUDENT LEARNING, DEVELOPMENT, AND SUCCESS**

### 3.1 Program Contribution to Student Learning, Development, and Success
Transfer Student Programs and Services (TSPS) must contribute to students’ formal education, which includes both curricular and co-curricular experiences.

TSPS must contribute to students’ progression and timely completion of educational goals.

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

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

TSPS must provide transfer students with access to professional advisors, faculty members, counselors, and staff support to help them engage in and develop college and long-term academic, career, and life goals.

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

TSPS must inform key partners about policies and practices that maximize transfer student success.

TSPS must collaborate with stakeholders to address transfer student success, retention, and degree completion.

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

TSPS must implement strategies and tactics to achieve these outcomes.

3.2 Student Learning and Development Domains and Dimensions

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

TSPS 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

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

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

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

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

### PART 4. ASSESSMENT

#### 4.1 Establishing a Culture of Assessment

Transfer Student Programs and Services (TSPS) must develop assessment plans and processes that document progress toward achievement of mission, goals, outcomes, and objectives.

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

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

#### 4.2 Program Goals, Outcomes, and Objectives
TSPS must identify goals, outcomes, and objectives to guide its work.

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

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

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

4.3 Assessment Plan and Process

TSPS 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

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

TSPS must employ ethical practices in the assessment process.

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

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

TSPS must collaborate with appropriate partners to conduct research and collect data regarding transfer students.

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

4.4 Gathering Evidence

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

TSPS must employ multiple methods and measures of data collection.

TSPS must develop manageable processes for gathering, interpreting, and evaluating data.
TSPS must adhere to institutional policies related to data access and management.

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

4.5 Review and Interpret Findings

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

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

4.6 Reporting Results and Implementing Improvement

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

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

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

TSPS must monitor improvements implemented based on assessment results.

TSPS must apply results for future planning.

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

TSPS assessment results must be shared with students, staff, and faculty at both sending and receiving institutions.

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, Transfer Student Programs and Services (TSPS) 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.

TSPS 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

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

TSPS transfer processes and practices must be congruent with institutional policies on equal opportunity access.

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

TSPS 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

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

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

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

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

5.4 Implementing Access, Equity, Diversity, and Inclusion

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

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

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

TSPS personnel 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.

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

TSPS must have an established protocol for, and foster expectation of, bias incident reporting.
Personnel within TSPS must cultivate understanding of identity, culture, self-expression, and heritage.

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

When educational and/or workplace accommodations are requested, TSPS 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

Transfer Student Programs and Services (TSPS) leaders must model ethical behavior and demonstrate alignment with institutional mission, goals, and ethical practices.

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

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

TSPS 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

TSPS 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

TSPS leaders should provide a voice for transfer student concerns on institutional committees.

TSPS leaders should work with institutional leaders to plan courses and course sections to accommodate transfer student degree plans.
TSPS leaders should collaborate with key partners to influence institutional planning, policy, procedural, and fiscal decisions that affect transfer student articulation.

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

TSPS leaders should communicate with professional colleagues in the transfer student field and related areas.

6.2 Management

TSPS 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

TSPS 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

TSPS 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

Transfer Student Programs and Services (TSPS) must identify the level of staffing necessary to achieve its mission and goals.

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

TSPS 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).

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

TSPS 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.

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

Competencies of TSPS personnel may include, but should not be limited to
• 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

7.2 Employment Practices

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

TSPS 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
TSPS 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 TSPS 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 TSPS.

7.3 Personnel Training and Development

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

TSPS 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.

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

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

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

TSPS 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

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

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

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

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

TSPS 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

Transfer Student Programs and Services (TSPS) personnel must collaborate and consult with institutional leaders, faculty, individuals, and departments essential to the success of the program.

TSPS personnel 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.

TSPS 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

TSPS must develop and maintain a relationship with those responsible for the orientation of new students to meet the specific needs of transfer students.
TSPS must develop and maintain collaborative relationships between sending and receiving institutions.

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

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

8.2 COMMUNICATION

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

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 develop and implement strategies for outreach and promotion.

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

All transfer-related marketing and forms must clearly state student rights and responsibilities in the transfer process.

8.3 Procedures and Guidelines

TSPS 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

Transfer Student Programs and Services (TSPS) must review and adopt appropriate standards of ethical practice including those of applicable professional associations.

TSPS 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

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

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

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

TSPS must not falsely represent their institution and academic standing for the sole reason of securing the transfer student's admittance.

TSPS personnel 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.

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

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

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

TSPS must address issues surrounding scholarly integrity.

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

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

9.3 Legal Obligations and Responsibilities

TSPS 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.

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

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

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

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

TSPS 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

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

TSPS 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.

TSPS personnel 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.

TSPS 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

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

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

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

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

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

TSPS personnel 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 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

Transfer Student Programs and Services (TSPS) must have the funding that is necessary to accomplish its mission and goals.

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

TSPS must determine with administrative leadership what funding is necessary.

10.2 Financial Planning

In establishing and prioritizing funding resources, TSPS must conduct comprehensive analyses to determine
- unmet needs of the unit
- relevant expenditures
- external and internal resources
- impact on students and the institution

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

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

TSPS 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

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

TSPS must demonstrate responsible stewardship and use of fiscal resources.
TSPS must have procedures and guidelines consistent with institutional policy for applying to and managing funds from external resources.

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

TSPS 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

Transfer Student Programs and Services (TSPS) must have current technology to support the achievement of its mission and goals.

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

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

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

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

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

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

11.2 User Engagement

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

TSPS must ensure that technology addresses constituent needs.

TSPS must employ technologies that facilitate user interaction.

TSPS must provide secure remote access.

11.3 Compliance and Information Security

TSPS must have policies on the appropriate use of technology that are clear and easily accessible.
TSPS must comply with governmental codes and laws and with institutional technology policies and procedures.

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

11.4 Communication

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

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

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

TSPS 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

Transfer Student Programs and Services (TSPS) facilities must be located in suitable spaces designed to support the functional area’s mission and goals.

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

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

TSPS must incorporate universal design principles.

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

12.2 Work Space

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

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

12.3 Equipment Acquisition

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

TSPS must incorporate sustainable practices when purchasing equipment.
12.4 Facilities and Equipment Use

TSPS 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.

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

TSPS must develop sustainable practices for facilities use.

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

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

*General Standards revised in 2018;*  
*TSPS content developed/revised in 2012*

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