CAS
COUNCIL FOR THE ADVANCEMENT OF STANDARDS
IN HIGHER EDUCATION

CAS 1998 STANDARDS
SELF-ASSessment GUIDE

Rater: Carl R. Bello

Date: 2/20/2001

Program Reviewed: Financial Aid

Administrative Unit Reviewed: Central Financial Aid

Instructions:
The assessment criteria measures in this self-assessment worksheet are based directly on the
CAS Standards as boxed in bold print. Use the scale below to rate the program under study
against the assessment criteria statements. Place ratings in the space to the right of each
criterion statement. Use the Information Not Available (INA) response ONLY when documentation
or other information is unavailable to support the observation. Use the Exemplary (EX) response
ONLY when documentation indicates that the criterion was met in exceptional fashion.

Part 1: Mission

The financial aid program must develop, record, disseminate, implement and regularly review its
mission and goals. Mission statements must be consistent with the mission and goals of the
institution and with the standards in this document.

The financial aid program shall develop, review, and disseminate financial resources to students to
assist them in achieving their educational goals from pre-enrollment through graduation. Many
aspects of financial aid are mandated by federal and state entities that define the parameters within
which institutional programs must operate. In a manner consistent with the goals of the institution, the
mission and goals of the financial aid program must address the following.

Students in Transition.
Such students move from secondary to postsecondary education, from one postsecondary institution to another,
including undergraduate to graduate school, and return from a period of non-enrollment to formal learning or re-
enrollment in the institution.

Awarding Practices.
Such practices establish, promulgate, and implement financial aid criteria that accurately represent the financial needs
of the applicant pool, set priorities within this group, and respond with funding to the extent possible.

Financial Counseling.
Such counseling provides high quality services to students for (a) the purpose of providing better understanding of
financial aid, (b) financial guidance, (c) individual review of situations that may require special consideration, and (d)
guidance in academic and financial matters especially as they relate to satisfactory academic progress.

Goal Integration.
Goals should be consistent with the mission, goals, policies, procedures and characteristics of the institution and be
compatible with the ability of the institution to provide adequate resources to meet the needs and educational goals of
the students.

Review of Goals.
Institutional goals for financial aid should be developed and reviewed regularly. Such goals should be consistent with
statements of good practices articulated by relevant and appropriate professional associations such as the National
Association of Student Financial Aid Administrators and the Canadian Association of Student Financial Aid
Administrators.
MISSION STATEMENT

1. The Financial Aid Service is committed to encouraging and creating higher education access and opportunity to the residents of our service area. This commitment exists from initial recruitment to final graduation without hesitation or compromise.

2. It is intended to provide full financial aid services to the entire population that needs such assistance. This commitment is in place at all of the campuses of SCCC and is implemented with full endorsement.

3. It is generally recognized that the clientele that SCCC serves is extremely diverse. It includes traditional students and adult students across all socioeconomic categories.

4. It is also understood, however, that there is a particularly large segment of students at SCCC that have limited higher education choices and extremely limited resources which restricts the element of choice for those students. They select the affordable choice, Suffolk County Community College.

5. The target groups are many. They consist of students whose families have been dissolved involuntarily or otherwise. They may be attempting to enroll on their own or with the assistance of a single parent charged with the maintenance of the whole family. In many cases the students are themselves single parents seeking to establish a career. There are those students attempting to achieve academic and/or vocational accomplishments while receiving Public Assistance, Social Security, Vocational Education Services, and other transfer payments. Moreover, this college is still the primary choice of military veterans who enroll while utilizing the benefit programs available to them. Finally, we have the large number of traditional students who come from low to middle income families with multiple siblings of college age. For reasons dictated by affordability, high school preference or economic choice they have chosen SCCC as their institution.
OBJECTIVES

It is, therefore, the recognition of the financial aid services at SCCC that the mainstream of our client population is needy, impatient, anxious and perhaps even desperate or fragile. The financial aid process bestowed upon higher education can be an arduous and lengthy experience. The related statutes and external agencies dictate what this process must be. So the college must comply with all the rules and regulations incorporated with this process, and yet be flexible enough to respond to unique situations. And yet, our mission must also ensure that the students in our college receive all of the gift aid they are entitled and receive it as expeditiously as possible. Therefore, our policies although built on the regulatory requirements we must observe, are designed to expeditiously award and disburse the maximum entitlement funds to each of our students in an expeditious manner. It is a further objective for this college to avail itself of the maximum funds available through external grantors for these purposes.

Our policies, therefore, are promulgated annually with the following objectives:

1) Encourage and monitor all prospective students through the financial aid process. This will be accomplished through the use of our direct mail, in-house service and availability of the financial aid laboratories for electronic transmission.

2) With the advent of technology dominating this profession, the college must take every step to maintain parity with the state of the art technology. To provide these services to our population we must be mindful that many of our students still arrive at SCCC without computer literacy and without home computers. To ensure our students competing fairly with students from other institutions, we must advocate utilization of our financial aid laboratories as a substitute for home computers. As an institution, we must also recognize the eminent arrival of electronic signatures and thus at the same time reduce our dependency on hard copy documentation. Our offices must invest in and utilize new scanning and imaging technology. We must also support the efforts of our Information Services Department to move the college to state of the art technology. As that capability goes, so goes our own capability.

3) In application processing our student body we advocate electronic filing for students and expeditious packaging for our recipients. Such packaging will be driven by our mainframe programs, which are designed to maximize gift aid and loan avoidance for our lowest income population. All students who seek it will receive the opportunity to procure some sort of financial assistance.

4) The processing system also adheres to the regulatory requirements and abides by mandated verification and validation procedures. No student selected for this process by the Department can receive Title IV funds without completing this process at SCCC.
5) Our Packaging Formulae will place student loans as a last resort because many students will be pursuing four-year institutions where student loans will be the primary student financial aid resource. And so at SCCC gift aid is prioritized for low income students and gradually continues on through the middle class. Loans are infrequent for our low income group due to:
   1) Accruing high indebtedness while pursuing a four year degree
   2) To protect those students who might not succeed in college from falling into default without the earning power to manage repayment requirements.
   3) Avoiding the excessive repayment obligations the students will encounter after the completion of their education
   4) To ensure a lower default rate for the college which will preserve the availability of Title IV funds for the students at SCCC to come in the future.

6) Our packaging systems must also be responsive and flexible enough to entertain those cases and situations that do fit a stereotype mold. In such cases the campus FAO's are equipped to engage in a professional judgment offering different solutions to applicant. This same sensitivity can also be employed in complex dependency issues and resulting independence override. The college participates in this discretionary function because of the professional competence of its staff and the mission to assist all while protecting the integrity of the college in complying with all statutes and regulations.
## Assessment Criteria:

<table>
<thead>
<tr>
<th>Criteria Description</th>
<th>Scale Score</th>
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<tbody>
<tr>
<td>1.1 The financial aid program has a written mission statement that is consistent</td>
<td>1.1 5</td>
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<td>with the stated mission of the institution and the standards in this document</td>
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<td>1.2 The program has a written set of goals that is consistent</td>
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<td>with the stated goals and purposes of the institution</td>
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<td>1.3 The stated mission and goals are used to guide the implementation of program</td>
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<td>activities</td>
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<td>1.4 Program goal statements are reviewed on a regular basis</td>
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<td>1.5 Program goal statements are disseminated on a regular basis</td>
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<td>1.6 Program goals and objectives are consistent with all CAS financial aid standards</td>
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<td>presented within this document</td>
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<tr>
<td>1.7 The program develops and reviews financial resources for students</td>
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<td>1.8 The program disseminates financial resources to students</td>
<td>1.8 5</td>
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<td>1.9 Financial resources are available to assist students in achieving their</td>
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<tr>
<td>educational goals from pre-enrollment through graduation</td>
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<tr>
<td>1.10 The program functions within parameters established by governmental entities</td>
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<td>1.11 Within the context of institutional mission and goals, the program addresses . .</td>
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<tr>
<td>1.11a students in transition</td>
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<td>1.11b awarding practices</td>
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<td>1.11c financial counseling</td>
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<td>1.11d goal integration</td>
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<tr>
<td>1.11e review of goals</td>
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**Sum of Mission Ratings: 73**

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### A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

--- Note Attached ---

### B. Identify, summarize, and cross reference documentation that affects rating decisions:

--- Note Attached ---

### C. Identify and list discrepancies between assessment criteria and actual program practice:

--- Note Attached ---

### D. Identify and list action plans proposed to bring the program into compliance with standards:

--- Note Attached ---

### E. Identify and list recommended action plans proposed to enhance program quality:

--- Note Attached ---
Part 1: MISSION

A. Guidelines used were all CAS guidelines

B. SCCC Mission Statement, FA Service Objectives, Operational Procedures, Program Policies and Packaging Policies. In addition, the ongoing Director’s Meetings, Award Notices, FA Brochures and external training to enhance compliance.

C. None

D. Perhaps more formal periodic review of goals and mission statement should be instituted as well as more advocacy for personnel support at campus level.

E. One director’s meeting per year should be devoted to only the assessment of our mission and its realization.
Part 2: PROGRAM

The formal education of students is purposeful, holistic, and consists of the curriculum and the cocurriculum. Co-curricular programs and services must be (a) intentional, (b) coherent, (c) based on theories and knowledge of learning and human development, (d) reflective of developmental and demographic profiles of the student population, and (e) responsive to special needs of individuals.

The financial aid program must assist students by addressing financial issues that may serve as barriers to the achievement of educational goals.

The financial aid program must promote learning and development in students by encouraging outcomes such as intellectual growth, ability to communicate effectively, realistic self-appraisal, enhanced self-esteem, clarification of values, appropriate career choices, leadership development, physical fitness, meaningful interpersonal relations, ability to work independently and collaboratively, social responsibility, satisfying and productive lifestyles, appreciation of aesthetic and cultural diversity, and achievement of personal goals.

The financial aid program must
• comply with federal and state law, provincial statutes, and institutional policies;
• promote and maintain integrity, accuracy, and timeliness in the delivery of financial aid;
• provide adequate information for students and parents to make informed decisions regarding the financing of their education; and
• promote and provide equal access to eligible students interested in pursuing an education at the institution.

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Assessment Criteria:

2.1 The financial aid program is purposeful 2.1 5
2.2 The program is holistic, consisting of the curriculum and cocurriculum 2.2 3
2.3 The program is intentional in its . . . 2.3a 5
2.3b outcome objectives 2.3b 5
2.4 The program is . . . 2.4a 4
2.4b based on relevant theoretical foundations that incorporate knowledge of learning and human development 2.4b 5
2.4c reflective of developmental and demographic profiles of the students served 2.4c 5
2.4d responsive to the special needs of students being served 2.4d 5
2.5 The program promotes student learning and development by encouraging . . . 2.5a 5
2.5b effective communication skills 2.5b 5
2.5c realistic self appraisal 2.5c 2
2.5d enhanced self-esteem 2.5d 5
2.5e clarification of values 2.5e 5
2.5f appropriate career choices 2.5f 5
2.5g leadership development 2.5g 5
2.5h physical fitness 2.5h 2

Financial Aid Program 4 CAS Self-Assessment Guide
2.5i the ability to relate meaningfully to others
2.5j a capacity to work both independently and collaboratively
2.5k the capacity to function in socially responsible ways
2.5l a capacity to engage in a personally satisfying and productive style of living
2.5m appreciation of cultural differences
2.5n appreciation of aesthetic differences
2.5o achievement of personal goals

2.6 The program addresses financial issues that may serve as barriers to students achieving their educational goals

2.7 The financial aid program ...

2.7a complies with federal and state law, provincial statutes, and institutional policies
2.7b maintains integrity, accuracy, and timeliness in delivering financial aid
2.7c provides adequate information for students and parents to use when making informed decisions regarding educational financing
2.7d provides equal access to eligible students interested in institutional study

Sum of Program Ratings: 132

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

Note Attached

B. Identify, summarize, and cross reference documentation that affects rating decisions:

Note Attached

C. Identify and list discrepancies between assessment criteria and actual program practice:

Note Attached

D. Identify and list action plans proposed to bring the program into compliance with standards:

Note Attached

E. Identify and list recommended action plans proposed to enhance program quality:

Note Attached
Part 2: PROGRAM

A. All guidelines utilized.

B. Service Objectives, Policy Memoranda, Flexible Packaging Formula (i.e. Welfare recipients, Adult Learners, Child Care Budget etc), volume of award dollars to students and low indebtedness rate for students. Success of compliance audits when institution is reviewed.

C. There still remains some uncertainty with this office whether we are succeeding in having students realistically perform a valid self-appraisal throughout the process. Regarding 2.5h - Although our program does not endorse a program of physical fitness concept it appears the locations of the campus offices and trips to central accomplish that objective.

D. Continue to spend more time in performing means to impact student realizations.

E. Attempt to advocate personal counseling/advisor services for campuses.
Part 3: LEADERSHIP

Effective and ethical leadership is essential to the success of all organizations. Institutions must appoint, position and empower leaders within the administrative structure to accomplish stated missions. Leaders at various levels must be selected on the basis of formal education and training, relevant work experience, personal attributes, and other professional credentials. Institutions must determine expectations of accountability for leaders and fairly assess their performance.

Administrators of financial aid programs must exercise authority over resources for which they are responsible to achieve their respective missions. Leaders must articulate a vision for their organization; set goals and objectives; prescribe and practice ethical behavior; recruit, select, supervise, and develop others in the organization; manage, plan, budget, and evaluate; communicate effectively; and marshal cooperative action from colleagues, employees, other institutional constituencies, and persons outside the organization. Leaders must address individual, organizational, or environmental conditions that inhibit goal achievement. Leaders must improve programs and services continuously in response to changing needs of students and institutional priorities.

The institution should designate a well-qualified senior administrator with appropriate financial aid experience and training to effectively lead the financial aid program staff.

The senior financial aid administrator must be able to advocate for and to represent the financial needs of students, the operation and staffing of the financial aid program, and the institution.

The senior financial aid administrator must insure the development of . . .

- a set of policies and procedures that includes descriptions of the administrative processes;
- clearly stated criteria used in the decision making process for financial aid and the source of authority for the criteria employed;
- steps for appealing, evaluating, or revising policies and procedures;
- a statement of the institution's mission, goals, and objectives for the financial aid programs;
- an effective system to manage the programs, services, and personnel of the financial aid program;
- an assessment plan for its programs and services;
- means for coordinating the financial aid program with other institutional agencies; and
- criteria for selecting qualified staff and ensuring adequate opportunities for staff development.

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Assessment Criteria:

3.1 A financial aid program leader has been appointed

3.2 The appointed leader is positioned appropriately within the administrative structure to accomplish financial aid program goals and objectives

3.3 Appointed leaders are selected on the basis of . . .

3.3a formal education and training

3.3b relevant work experience

3.3c relevant personal attributes

3.3d relevant professional credentials

3.4 The institution has established its accountability expectations for the program leader

3.5 The institution fairly assesses the leader's performance

3.6 The leader exercises authority over resources for which he or she is responsible

3.7 The program leader . . .

3.7a articulates a vision for the organization

3.7b sets appropriate goals and objectives

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Financial Aid Program 6 CAS Self-Assessment Guide
3.7c prescribes and practices ethical behavior
3.7d recruits and selects well qualified staff members for positions in the organization
3.7e supervises and otherwise promotes the development of staff members in the organization
3.7f manages everyday operations of the program
3.7g leads planning efforts for the program and service
3.7h plans and manages the program budget
3.7i assures that program evaluation processes and procedures are in place and operational
3.7j communicates effectively with program subordinates and superiors
3.7k promotes cooperation and collaboration with professional colleagues, staff members, and other institutional constituencies
3.7l promotes cooperation with persons outside the institution

3.8 The leader addresses behavior of individuals who inhibit program goal achievement
3.9 The leader addresses organizational conditions that inhibit program goal achievement
3.10 The leader addresses environmental conditions that inhibit program goal achievement
3.11 The leader improves program services continuously in response to changing needs of students

3.12 The senior financial aid administrator advocates for the...
3.12a financial needs of students
3.12b operation and staffing of the financial aid program
3.12c institution

3.13 The senior financial aid administrator represents the...
3.13a financial needs of students
3.13b operation and staffing of the financial aid program
3.13c institution

3.14 The senior financial aid administrator ensures the development of...
3.14a policies and procedures describing administrative processes
3.14b clearly stated criteria used in financial aid decision making processes
3.14c steps for appealing, evaluating, or revising policies and procedures
3.14d a statement of the financial aid program's mission, goals, and objectives
3.14e an effective system to manage programs, services, and personnel
3.14f a program assessment plan
3.14g means for coordinating the program with other institutional agencies
3.14h criteria to select qualified staff
3.14i opportunities for staff development

Sum of Leadership Ratings: 192
A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:
_________________________________________________________________________
_________________________________________________________________________

B. Identify, summarize, and cross reference documentation that affects rating decisions:
_________________________________________________________________________
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C. Identify and list discrepancies between assessment criteria and actual program practice:
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D. Identify and list action plans proposed to bring the program into compliance with standards:
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E. Identify and list recommended action plans proposed to enhance program quality:
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Part 3: LEADERSHIP

A. All CAS Guidelines utilized.

B. SCCC Policies and Procedures, Technology Advances, Director's Meetings, Formulation of Mission and Objectives, Monitoring of Award Levels and Editing of any Variances. Agency evaluation of SCCC programs and where possible advocating for campus staff or facilities.

C. There is a void in participation in staffing decisions by the campus employees, creating central uncertainty as to new employee's commitment to work demands and adherence to SCCC mission. The deficiencies noted are due to the more limited role of advocacy as opposed to the ability to ensure outcomes.

D. Continue to advocate for involvement in facility and personnel changes within the financial aid program

E. To inform campus administration of the outcomes or repercussions on changes in campus environment or personnel.
Part 4: ORGANIZATION and MANAGEMENT

The financial aid program must be structured purposefully and managed effectively to achieve stated goals. Evidence of appropriate structure must include current and accessible policies and procedures, written performance expectations for all employees, functional work-flow graphics or organizational charts, and service delivery expectations. Evidence of effective management must include clear sources and channels of authority, effective communication practices, decision-making and conflict resolution procedures, responsiveness to changing conditions, accountability systems, and recognition and reward processes.

The financial aid program must provide channels within its organization for regular review of administrative policies and procedures.

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Assessment Criteria:

4.1 The program is structured purposefully to achieve its stated goals 4.1 4

4.2 The program is managed effectively to achieve its stated goals 4.2 5

4.3 Policies and procedures are current and accessible 4.3 5

4.4 Accurate written performance expectations are in place for all employees’ functional work assignments 4.4 3

4.5 An accurate organizational chart shows functional work responsibilities and reporting relationships within and beyond the program 4.5 4

4.6 Service delivery expectations are available to guide staff performance 4.6 5

4.7 The program organization exhibits effective management through inclusion of...

4.7a clear sources and channels of authority 4.7a 4

4.7b effective communication practices 4.7b 5

4.7c systematic decision-making procedures 4.7c 5

4.7d conflict resolution procedures 4.7d 5

4.7e responsiveness to changing institutional and environmental conditions 4.7e 5

4.7f appropriate and well monitored accountability systems 4.7f 5

4.7g appropriate staff recognition and reward processes 4.7g 4

4.7h channels for regular review of administrative policies and procedures 4.7h 5

Sum of Organization and Management Ratings: 66

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

Note Attached

B. Identify, summarize, and cross reference documentation that affects rating decisions:

Note Attached

CAS Self-Assessment Guide 9 Financial Aid Program
C. Identify and list discrepancies between assessment criteria and actual program practice:

________________________________________________________________________
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D. Identify and list action plans proposed to bring the program into compliance with standards:

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E. Identify and list recommended action plans proposed to enhance program quality:

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Part 4: ORGANIZATION and MANAGEMENT

A. All

B. Job Descriptions, Organization Charts, Policies and Procedures, College Catalogue, Director's Meetings, Inter-Office Staff Meetings and Operational Reports by campus; Resumes of Incumbents.

C. There are some conflicting elements about the relationship of work responsibilities where campus priorities may encounter central priorities. The authority for the appropriate chore may cause a diversion from the program objective(s). There is also limited opportunities for rewards for staff achievement, with no apparent regard for promoting or salary available in the structure. Only verbal/written acknowledgements are utilized.

D. The organization is somewhat of a hybrid in terms of correlating accountability to authority so SCCC must continue to reinforce a clear channel of responsibility so that any conflicts may be avoided.

E. Continue to work within the current framework.
Part 5: HUMAN RESOURCES

The financial aid program must be staffed adequately by individuals qualified to accomplish its mission and goals. The program must establish procedures for staff selection, training, and evaluation; set expectations for supervision, and provide appropriate professional development opportunities.

Continued training is essential for all financial aid staff. It is imperative to be alert to change within the field and to be able to integrate changes into daily practice.

Every financial aid staff member should be
- familiar with federal, state/provincial, and institutional regulations, policies, and practices regarding the awarding of financial aid funds;
- willing to seek out and implement new ideas;
- able to translate new ideas into practical methods for improving the overall operation of the financial aid program;
- respectful of the confidential nature of the profession;
- willing to seek out and use new conceptual frameworks and equipment that bring information to students more clearly and effectively; and
- aware of relevant developments in higher education and be able to incorporate these developments.

Job descriptions with the duties and responsibilities for each staff member should be developed. Financial aid staff members should have knowledge and understanding of the mission, programs and services of the institution. Institutional training should be provided for all staff members to include
- a thorough tour of the campus;
- familiarization with publications, academic programs, admission policies, and services of the institution; and
- rights and responsibilities as an employee of the institution.

Professional staff members must hold an earned graduate degree in a field relevant to the position description or must possess an appropriate combination of education and experience.

Suggested formal training in preparation for professional financial aid employment includes such fields as business administration, computer sciences, information systems, college student personnel, higher education administration, counseling and other human behavior disciplines; course work may include computer literacy, research and statistical methods, counseling, legal issues of higher education, and leadership and management.

Professional staff should be competent to provide assistance to students that may include but not be limited to:
- careful and concerned analysis of each student's need;
- knowledgeable guidance and counseling on all financial aid issues and concerns;
- explanation of federal and state, and, if appropriate, provincial statutes of Canada; and
- interpretation of institutional policies and procedures.

Graduate students, interns, and others in training must be instructed and supervised adequately by professional staff members.

Student employees and volunteers must be carefully selected, trained, supervised, and evaluated. When their knowledge and skills are not adequate for particular situations, they must refer students or others in need of assistance to professional staff members.

Student employees and volunteers should be trained in public relations, referral techniques, peer counseling, and dissemination of information. They should be knowledgeable in their individual job assignments and understand the confidential nature of their positions.

The financial aid program must have secretarial and technical staff adequate to accomplish its mission. Such staff must be technologically proficient and qualified to perform activities including reception duties, office equipment operation, records maintenance, and mail handling.

Support staff members should be skilled in interpersonal communications, public relations, referral techniques and dissemination of information. Professional and support staff members with higher technical responsibilities should possess the academic background and experience for effective performance. Support staff members should understand the confidential nature of their job.

Appropriate salary levels and fringe benefits for all staff members must be commensurate with those for comparable positions within the institution, in similar institutions, and in the relevant geographic area.
To reflect the diversity of the student population, to ensure the existence of readily identifiable role models for students and to enrich the campus community, institutions must intentionally employ a diverse staff.

Affirmative action must occur in hiring and promotion practices as required to ensure diverse staffing profiles.

Degree or credential seeking interns or others in training must be qualified by enrollment in an appropriate field of study and relevant experience.

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**Assessment Criteria:**

5.1 The program is staffed adequately by individuals qualified to accomplish its mission and goals  
   5.1a staff selection  
   5.1b staff training  
   5.1c staff evaluation  

5.2 The program has established procedures for . . .  
   5.2a staff selection  
   5.2b staff training  
   5.2c staff evaluation  

5.3 The program has set expectations for staff supervision  

5.4 The program provides and encourages appropriate professional staff development opportunities  

5.5 Individual professional staff members hold either an earned graduate degree in a field relevant to the position held or possess an appropriate combination of education and experience  

5.6 Interns and others in program-sponsored training are qualified by enrollment in an appropriate field of study and relevant experience  

5.7 Interns and others in training receive effective training and supervision from professional staff members  

5.8 Student employees and volunteers are . . .  
   5.8a carefully selected  
   5.8b trained and supervised by professional staff members  
   5.8c evaluated in their work  

5.9 When the knowledge and skills of student employees and volunteers are not adequate for particular situations, they refer students and others to qualified professional staff members for assistance  

5.10 The program has secretarial and technical staff adequate to accomplish its mission  

5.11 Staff members are technologically proficient to accomplish assigned tasks  

5.12 Clerical staff members are qualified to perform . . .  
   5.12a reception duties  
   5.12b office equipment operations  
   5.12c records maintenance  
   5.12d mail handling  

**Scale Score**

5.1 5  
5.2a 5  
5.2b 5  
5.2c 4  
5.3 5  
5.4 5  
5.5 5  
5.6 NA  
5.7 NA  
5.8a NA  
5.8b NA  
5.8c NA  
5.9 NA  
5.10 5  
5.11 5  
5.12a 5  
5.12b 5  
5.12c 5  
5.12d 5  

5.13 Salary levels and fringe benefits for all staff members are commensurate with those for comparable positions in...

5.13a the institution

5.13b in similar institutions

5.13c in the local geographic area

5.14 The program employs staff members from diverse cultural, ethnic, and social backgrounds

5.15 Program hiring and promotion practices reflect affirmative action patterns as required to ensure diverse staffing profiles

5.16 The program is alert to changes within the field and integrates them into daily practice

Sum of Human Resource Ratings: 89

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

Note Attached

B. Identify, summarize, and cross reference documentation that affects rating decisions:

Note Attached

C. Identify and list discrepancies between assessment criteria and actual program practice:

Note Attached

D. Identify and list action plans proposed to bring the program into compliance with standards:

Note Attached

E. Identify and list recommended action plans proposed to enhance program quality:

Attached
Part 5: HUMAN RESOURCES

A. All

B. Job Announcements, Job Search, Staff Selection, Job Descriptions, College Catalogue, Conference Attendance, Employee Awards, and Training Services.

C. In the Central Office, one deficiency is the lack of flexibility with regard to the appropriate designation of one System Analyst. As a civil service title it does not reflect the wide range of duties performed. In addition to technical application, duties include, training of multiple campus professional and support staff, interaction with other central and campus offices, articulation with CIS Department, dialogue with other institutions and agencies and a consistent advisement process for student inquiries and visits from all campuses. Interpersonal communication is one of the many requirements and is the strength of the incumbent. No interns or students employed at Central (not appropriate).

D. The only remedy would be to add additional staff or seek the appropriate clarification of their duties.

E. To formulate a plan for appropriate recognition and remuneration for such central employees in this growing electronic age and evolution of on line courses in our educational offering.
Part 6: FINANCIAL RESOURCES

The financial aid program must have adequate funding to accomplish its mission and goals. Priorities, whether set periodically or as a result of extraordinary conditions, must be determined within the context of the stated mission, goals, and resources.

Funding for the financial aid program should cover staff salaries; purchases and maintenance of office furnishings and equipment, including state of the art technology; purchases of supplies and materials: telephone, fax, electronic communication and postage costs; printing and media costs; institutional membership in appropriate professional organizations; relevant subscriptions and necessary library resources; attendance at professional association meetings, conferences, workshops and other professional development activities. In addition to institutional commitment of general funds, other funding sources may be considered including state appropriations, federal resources, student fees, fines, donations and contributions.

The financial aid program budget must be properly prepared, clearly detailed and defined, continually monitored and adequately funded for full program support.

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Assessment Criteria:

6.1 Funding is adequate to carry out the program's mission and goals

6.2 Priorities are set within the context of the program's stated mission and goals

6.3 Priorities are set within the program's available fiscal resources

6.4 The program budget is...
   6.4a properly prepared
   6.4b clearly detailed and defined
   6.4c continually monitored

Scale Score

6.1 4
6.2 5
6.3 5
6.4a 4
6.4b 5
6.4c 5

Sum of Financial Resources Ratings: 23

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:
   Note Attached

B. Identify, summarize, and cross reference documentation that affects rating decisions:
   Note Attached

C. Identify and list discrepancies between assessment criteria and actual program practice:
   Note Attached

D. Identify and list action plans proposed to bring the program into compliance with standards:
   Note Attached

E. Identify and list recommended action plans proposed to enhance program quality:
   Note Attached

Financial Aid Program 14

CAS Self-Assessment Guide
Part 6: FINANCIAL RESOURCES

A. All

B. Budget allocations for five-year period, Expenditure records for same period, Subscriptions, Membership and Conference/Workshop request expensive.

C. One shortcoming is that technical program training is relatively expensive so the opportunities are limited. Decisions are consciously made to work with the budget assigned to accomplish all absolutely mandatory state and local conferences and workshops. Failure to attend places the college’s programs at a disadvantage. Regional and national business conferences are avoided due to lack of funds.

D. Continue to manage and prioritize travel subscriptions and memberships that benefit the college within the college’s limited operating budget. Also continue to select technical workshops on a selective basis.

E. To enforce the importance of these expenditures for all members of the financial aid organization within the restricted structure and correlate the importance of the integrity of the millions of dollars of revenue engineered by this group.
Part 7: FACILITIES, TECHNOLOGY, and EQUIPMENT

The financial aid program must have adequate, suitably located facilities, technology, and equipment to support its mission and goals. Facilities and equipment must be in compliance with relevant federal, state/provincial, and local requirements to provide for access, health and safety.

The financial aid program should be readily accessible, included on campus maps, and have highly visible signage. The program should have facilities or have access to:
- private office or space for confidential counseling, interviewing, and other meetings;
- office, reception, and storage space and security sufficient to accommodate assigned staff, supplies, equipment, library resources, and machinery; and
- conference room or meeting space.

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Assessment Criteria:  

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<td>7.3 The program has adequate equipment to support its mission and goals</td>
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<td>7.4 Program facilities are suitably located to support its mission and goals</td>
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<td>7.5 Program technology is suitably located to support its mission and goals</td>
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<td>7.6 Program equipment is suitably located to support its mission and goals</td>
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<td>7.7 The program's facilities are in compliance with relevant federal, state/provincial, and/or local requirements to provide appropriate access, health, and safety</td>
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<td>7.9 The program's equipment is in compliance with relevant federal, state/provincial and/or local requirements to provide appropriate access, health, and safety</td>
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Sum of Facilities, Technology, and Equipment Ratings: 40

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

Note Attached

B. Identify, summarize, and cross reference documentation that affects rating decisions:

Note Attached

C. Identify and list discrepancies between assessment criteria and actual program practice:

Note Attached

D. Identify and list action plans proposed to bring the program into compliance with standards:

Note Attached

E. Identify and list recommended action plans proposed to enhance program quality:

Note Attached
Part 7: FACILITIES, TECHNOLOGY, and EQUIPMENT

A. All

B. Office Space, Office Equipment, College Hardware, College Software, Close Relationship to CIS Department and Financial Aid Systems

C. Throughout the college there is limited space appropriate for confidential/private interviewing at the point of contact at the campus offices. Conference space at the Ammerman Campus also is not available. However, the one noteworthy concern is due to the Ammerman Campus office workspace.

D. In order to ensure the privacy of student's discourse and/or an adequate workspace. Changes should be made to the physical structure of the three campuses.

E. The Ammerman Campus must be provided additional working space to accomplish SCCC objectives. A new function (scanning and indexing) has been undertaken by all campuses thus presenting a need for an additional workstation. For Ammerman to achieve this in a healthy and safe environment, modifications must be done.
Part 8: LEGAL RESPONSIBILITIES

Financial aid program staff members must be knowledgeable about and responsive to law and regulations that relate to their respective program or service. Sources for legal obligations and limitations are constitutional, federal, statutory, regulatory, and case law; mandatory laws and orders emanating from federal, state/provincial and local governments; and the institution through its policies.

Financial aid staff members must use reasonable and informed practices to limit the liability exposure of the institution, its officers, employees, and agents. Staff members must be informed about institutional policies regarding personal liability and related insurance coverage options.

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

The institution must inform staff and students, in a timely and systematic fashion, about extraordinary or changing legal obligations and potential liabilities.

Financial aid staff members must be aware of the legal and ethical limits and standards relevant to their roles and perform any counseling or guidance functions accordingly.

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Assessment Criteria: Scale Score

8.1 Staff members are knowledgeable about and responsive to laws and regulations relevant to respective programs and services 8.1 5

8.2 Staff members exhibit practice that is reasonable and informed and that limits the institution and its officers, employees, and agents to liability exposure 8.2 5

8.3 Staff members are informed about institutional policies regarding personal liability and related insurance coverage options 8.3 3

8.4 Staff members are provided access to legal advice as needed to implement assigned responsibilities 8.4 3

8.5 Staff members and students are informed in a timely and systematic fashion about extraordinary or changing legal obligations and potential liabilities 8.5 5

8.6 Staff members are aware of the legal and ethical limits and standards relevant to their roles and perform counseling and guidance functions accordingly 8.6 5

Sum of Legal Responsibilities Ratings: 26

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

NOTE ATTACHED

B. Identify, summarize, and cross reference documentation that affects rating decisions:

NOTE ATTACHED

Financial Aid Program 16 CAS Self-Assessment Guide
C. Identify and list discrepancies between assessment criteria and actual program practice:

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D. Identify and list action plans proposed to bring the program into compliance with standards:

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E. Identify and list recommended action plans proposed to enhance program quality:

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________________________________________________________________________
Part 8: LEGAL RESPONSIBILITIES

A. All


C. SCCC deficiency is in the area of employees knowing their personal liability implication and related insurance coverage option. There is also no stated policy on legal advice access for the employees in the performance of their duties.

D. Although the college has a long-standing conservative posture on disseminating student information and protecting privacy, this situation could occur inadvertently. Access to legal advice is necessary.

E. Propose that our Legal Affairs Compliance Officer meet with all staff in formal setting to review personal and individual liability risks and relevant insurance coverage.
Part 9: EQUAL OPPORTUNITY, ACCESS, and AFFIRMATIVE ACTION

Financial aid staff members must ensure that services and programs are provided on a fair and equitable basis. Each program and service must be accessible. Hours of operation must be responsive to the needs of all students. Each program and service must adhere to the spirit and intent of equal opportunity laws.

The program should ensure that its programs, services, and facilities are accessible to and provide hours of operation that respond to the needs of special populations, including traditionally under-represented, evening, part-time and commuter students.

The financial aid program must not be discriminatory on the basis of age, color, disability, gender, national origin, race, religious creed, sexual orientation, and/or veteran status. Exceptions are appropriate only where provided by relevant law and institutional policy.

Consistent with its mission and goals, the financial aid program must take affirmative action to remedy significant imbalances in student participation and staffing patterns in keeping with court mandated, institutional, local, state/provincial, and federal laws.

Institutional and financial aid publications must reflect relevant federal and state law, Provincial Statutes, if applicable, and institutional policies and practices.

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Assessment Criteria:

9.1 Staff members ensure the provision of financial aid services on a fair and equitable basis

9.2 The program and its services are accessible to all constituents

9.3 Program hours of operation are responsive to the needs of all students, including traditionally under-represented, evening, part-time, and commuter students

9.4 The program adheres to the spirit and intent of equal opportunity laws

9.5 The program does not discriminate in its policies with regard to age, color, disability, gender, race, national origin, religious creed, sexual orientation, and/or veteran status

9.6 Exceptions to program policy are made only as required by law or institutional policy

9.7 Affirmative action is practiced to remedy significant imbalances in student participation and staffing patterns

9.8 Financial aid publications reflect relevant federal and state law, provincial statutes, and institutional policies and practices

Sum of Equal Opportunity, Access, and Affirmative Action Ratings: 40

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

Note Attached

B. Identify, summarize, and cross reference documentation that affects rating decisions:

Note Attached

Financial Aid Program 18 CAS Self-Assessment Guide
C. Identify and list discrepancies between assessment criteria and actual program practice:

________________________________________________________________________
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D. Identify and list action plans proposed to bring the program into compliance with standards:

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E. Identify and list recommended action plans proposed to enhance program quality:

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________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
Part 9: EQUAL OPPORTUNITY, ACCESS AND AFFIRMATIVE ACTION

A. All


C. The only concern with this standard is that office hours be commensurate with other enrollment access opportunities throughout the campus.

D. Continue to advocate for equity in the accessibility of financial aid services with other enrollment services.

E. Continue to work with admissions and special program personnel in providing access and opportunities for perspective and enrolled students.
Part 10: CAMPUS and COMMUNITY RELATIONS

The financial aid program must establish, maintain, and promote effective relations with relevant campus offices and external agencies.

Institutional functions and constituencies linked to financial aid typically include admissions, registration and records, athletics, business services, academic advising, counseling services, student affirmative action, outreach programs, educational opportunity programs, career planning and placement, institutional development and faculty and alumni affairs.

Financial aid documents must be accurate and their confidentiality maintained by all offices at the institution.

Financial aid and admission decisions should be made independently. However, the financial aid program should have access to appropriate information in the student's admission file to assure compliance with applicable rules and regulations.

The financial aid program should maintain relationships with interested groups within the community regarding general and institutional financial aid practices. The community may include grant and scholarship agencies, high schools, and other community outreach programs.

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Assessment Criteria: Scale Score

10.1 The program has established and maintained effective working relationships with campus offices whose operations are relevant to its mission and goals 10.1 5

10.2 The program promotes effective working relationships with campus offices whose operations are relevant to its mission and goals 10.2 5

10.3 The program has established and maintained effective working relationships with external agencies whose operations are relevant to its mission and goals 10.3 5

10.4 The program promotes effective working relationships with external agencies whose operations are relevant to its mission and goals 10.4 5

10.5 Confidentiality of financial aid documents is maintained throughout the institution 10.5 5

Sum of Campus and Community Ratings: 25

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study: ____________________________________________________________________________

B. Identify, summarize, and cross reference documentation that affects rating decisions: Note Attached

C. Identify and list discrepancies between assessment criteria and actual program practice: Note Attached

D. Identify and list action plans proposed to bring the program into compliance with standards: Note Attached

E. Identify and list recommended action plans proposed to enhance program quality: Note Attached

Financial Aid Program 20 CAS Self-Assessment Guide
Part 10: CAMPUS AND COMMUNITY RELATIONS

A. All

B. Office Correspondence, Agency Citations, Agency Reviews, Appreciation Comments from general population, Interaction with other college officials, Congenial and functional campus relationships.

C. The only concern with the standard is that student files contain certain appropriate academic information (i.e. final high school transcript, matriculation satisfaction etc.)

D. None

E. Continue to advocate that student final transcripts are received and ATB students have passing test scores to ensure basic eligibility for financial aid.
Part 11: DIVERSITY

Within the context of each institution’s unique mission, multi-dimensional diversity enriches the community and enhances the collegiate experience for all; therefore, programs and services must nurture environments where similarities and differences among people are recognized and honored.

The financial aid program must promote cultural educational experiences that are characterized by open and continuous communication, that deepen understanding of one’s own culture and heritage, and that respect and educate about similarities, differences and histories of cultures. The financial aid program must address the characteristics and needs of a diverse population when establishing and implementing policies and procedures.

Financial aid staff members should be particularly sensitive to the needs of traditionally under-represented students and students with special needs.

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Assessment Criteria:

11.1 The financial aid program nurtures environments where similarities and differences among people are recognized and honored

11.2 The program promotes cultural educational experiences that...
   11.2a are characterized by open and continuous communication
   11.2b deepen understanding of a student’s own culture and heritage
   11.2c respect and educate about similarities among people
   11.2d respect and educate about differences among people
   11.2e respect and educate about the histories of various cultures

11.3 The program, when establishing and implementing policies and procedures, addresses unique characteristics and needs of the diverse population it serves

Sum of Diversity Ratings: 34

Scale Score

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:
   Note Attached

B. Identify, summarize, and cross reference documentation that affects rating decisions:
   Note Attached

C. Identify and list discrepancies between assessment criteria and actual program practice:
   Note Attached

D. Identify and list action plans proposed to bring the program into compliance with standards:
   Note Attached

E. Identify and list recommended action plans proposed to enhance program quality:
   Note Attached

CAS Self-Assessment Guide 21 Financial Aid Program
Part 11: DIVERSITY

A. All

B. Policies and Procedures, Articulation with SCCC Special Programs, Visits with Admissions to Underrepresented Populations, Financial Aid Brochures, Packaging Policies and Budgets.

C. The only potential shortcoming is the action of deepening their own understanding of students’ culture. Not enough counseling capability precludes that option and is usually done by referral to other offices or personnel.

D. However, by appearing and articulating at special program functions, the financial aid representatives are assisting in providing service to the under represented and establishing themselves as a stable resource for students.

E. Continue to provide support for the above functions and provide more counseling time.
Part 12: ETHICS

Students must be provided access to financial aid programs and services on a fair and equitable basis. All persons involved in the delivery of financial aid must adhere to the highest principles of ethical behavior. Programs and services must develop or adopt and implement statements of ethical practice addressing the issues unique to each program and service. Programs and services must publish these statements and insure their periodic review by all concerned.

In the formulation of these standards, ethical standards statements adopted by the profession at large or relevant professional associations may be of assistance and should be considered.

Financial aid staff members must ensure that confidentiality is maintained with respect to all communications and records considered confidential unless exempted by law. Information disclosed in individual counseling sessions must remain confidential, unless written permission to divulge the information is given by the student. However, all staff members must disclose to appropriate authorities information judged to be of an emergency nature, especially when the safety of the individual or others is involved. Information contained in students' educational records must not be disclosed to non-institutional third parties without appropriate consent, unless classified as "Directory" information or when the information is subpoenaed by law. The financial aid program must apply a similar dedication to privacy and confidentiality to research data concerning individuals. All staff members must be aware of and comply with the provisions contained in the institution's human subjects research policy and in other relevant institutional policies addressing ethical practices.

Financial aid staff members must recognize and avoid personal conflict of interest or appearance thereof in their transactions with students and others. Staff members must strive to insure the fair, objective, and impartial treatment of all persons with whom they deal. When handling institutional funds, all staff members must ensure that such funds are managed in accordance with established and responsible accounting procedures.

Financial aid staff members must maintain the highest principles of ethical behavior in the use of technology. Financial aid staff members must not participate in any form of harassment that deems persons or creates an intimidating, hostile, or offensive campus environment.

Staff members must perform their duties within the limits of their training, expertise, and competence. When these limits are exceeded, individuals in need of further assistance must be referred to persons possessing appropriate qualifications.

Financial aid staff members must use suitable means to confront and otherwise hold accountable other staff members who exhibit unethical behavior.

Financial aid administrators must insure timely and fair administration of policies regarding financial aid decisions and proper notification.

Publications and written communications should include a financial aid deadlines and information on opportunities for financial aid.

Financial aid must be awarded in compliance with applicable rules and regulations governing financial aid.

When appropriate, the senior financial aid administrator and professional staff members may need to exercise professional judgment in making exceptions to established financial aid policies. These decisions should be made in a fair and objective manner with supporting documentation.

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Assessment Criteria:

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<td>12.1 All staff members adhere to the highest principles of ethical behavior</td>
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<td>12.2 Staff members have developed and/or adopted a statement of ethical standards for the program and service to use as a guide to professional practice</td>
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Financial Aid Program 22 CAS Self-Assessment Guide
12.3 The adopted ethical standards are available in written form and accessible to staff members

12.4 The adopted ethical standards are reviewed periodically by professional staff

12.5 Appropriate measures are in place to assure the privacy of individuals and confidentiality of information concerning all communications and records considered confidential, unless exempted by law

12.6 Appropriate steps have been taken to insure that information disclosed in individual counseling sessions remains confidential unless written permission to divulge the information is given by the student.

12.7 Program policy provides for disclosure of information judged to be of an emergency nature to appropriate authorities when the safety of the individual or others is involved

12.8 Program policy protects information contained in students' educational records from disclosure to non-institutional third parties without appropriate consent, unless classified as "Directory" information or when the information is lawfully subpoenaed

12.9 The program and service protects the privacy and confidentiality of research data concerning individuals in a fashion similar to that of other confidential information.

12.10 Staff members are informed about and comply with the provisions of the institution's human subjects research policy and other relevant institutional policies addressing ethical practices

12.11 Staff members recognize and make concerted personal conflicts of interest or the appearance of transactions with students and others

12.12 Staff members ensure the fair, objective, and treatment of all persons with whom they deal

12.13 Staff members function so as to ensure that is in accordance with established and responsible

12.14 Staff members do not participate in any form of persons or creates an intimidating, hostile, or offensive environment.

12.15 Staff members perform their duties within the boundaries of competence and refer individuals in need of assistance to staff members who possess appropriate qualifications.

12.16 Staff members apply suitable means to confine accountable other staff members who exhibit inappropriate behavior.

12.17 Staff members maintain high principles of ethical behavior when using technology.

12.18 Students are provided access to services on a fair and equitable basis

12.19 Policies are in place that assure:

12.19a Timely financial aid decisions and proper notification

12.19b Fair financial aid decisions

12.20 Financial aid is awarded in compliance with applicable rules and regulations

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

Note Attached
B. Identify, summarize, and cross reference documentation that affects rating decisions:


C. Identify and list discrepancies between assessment criteria and actual program practice:


D. Identify and list action plans proposed to bring the program into compliance with standards:


E. Identify and list recommended action plans proposed to enhance program quality:


Financial Aid Program 24 CAS Self-Assessment Guide
Part 12: ETHICS

A. All

B. Policies and Procedures, Financial Aid Meetings and Brochures, Directors Meetings, College Catalogue, College Web Site and Packaging Procedures.

C. Due to logistical obstacles, some delay in starting the award year has occurred in the past. These included lack of tuition increases, failure of state budget to be enacted and various demands on our CIS Department.

D. At a slight risk, the award year will open earlier for 2001-2002.

E. A plan is in place, with the SCCC CIS Department, to issue awards starting this March, which would include a preliminary testing period for all financial aid personnel.
Part 13: ASSESSMENT and EVALUATION

The Program and service must regularly conduct systematic qualitative and quantitative evaluations of program quality to determine whether and to what degree the stated mission and goals are being met. Although methods of assessment vary, programs and services must employ a sufficient range of measures to insure objectivity and comprehensiveness. Data collected must include responses from students and other affected constituencies. Results of these evaluations must be used in revising and improving programs and services and in recognizing staff performance.

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</thead>
<tbody>
<tr>
<td></td>
<td>Not Met</td>
<td>Partially Met</td>
<td>Fully Met</td>
<td>Info. Not Available</td>
<td>Exemplary</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Assessment Criteria:

13.1 The financial aid program regularly conducts systematic qualitative program evaluations to determine how well its mission and goals are being met

Scale Score: 13.1 4

13.2 The program regularly conducts systematic quantitative program evaluations to determine how well its mission and goals are being met

Scale Score: 13.2 5

13.3 The program employs a sufficient range of measures to insure objectivity and comprehensiveness

Scale Score: 13.3 5

13.4 Among the data collected are responses elicited directly from students and other affected constituencies

Scale Score: 13.4 3

13.5 Assessment and evaluation results are used to revise and improve program services

Scale Score: 13.5 5

13.6 Assessment and evaluation results are used to recognize staff performance

Scale Score: 13.6 4

Sum of Assessment and Evaluation Ratings: 26

A. Cite CAS Guidelines to be assessed as program criterion measures for the self-study:

Note Attached

B. Identify, summarize, and cross reference documentation that affects rating decisions:

Note Attached

C. Identify and list discrepancies between assessment criteria and actual program practice:

Note Attached

D. Identify and list action plans proposed to bring the program into compliance with standards:

Note Attached

E. Identify and list recommended action plans proposed to enhance program quality:

Note Attached

CAS Self-Assessment Guide 25 Financial Aid Program
Part 13: ASSESSMENT AND EVALUATION

A. All

B. Activity Reports, Status Rosters, Student Follow-Up, Count Reports, Fiscal Operations Report, Exit Interviews, and Outside Agencies.

C. The student input comes from individual or group of students rather than a universal sampling survey.

D. To utilize the current Program Review Survey data obtained in this process for recognition of staff efforts and review of activity.

E. Evaluate the tabulated data for revising any objective or formulating new relationships with other offices or agencies. Encourage in more congratulatory communication to staff where needed. Finally to re-examine our mission and validate or revise based on survey results.
CAS
COUNCIL FOR THE ADVANCEMENT OF STANDARDS IN HIGHER EDUCATION

CAS Financial Aid Program Standards
Criteria Rating Summary Sheet

After completing the worksheet rating process, write the sum of the ratings for each component in the space provided and divide by the Total Possible Rating value immediately to the right. Then write the resulting percentage in the Component Compliance Score space on the right. That Compliance value reflects the difference between the highest possible rating and the self-assessment team’s ratings. The larger the resulting percentage, the greater the component’s compliance with the standards.

<table>
<thead>
<tr>
<th>Standard Component</th>
<th>Summary Values</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Component</td>
</tr>
<tr>
<td></td>
<td>Total Rating</td>
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<tr>
<td></td>
<td>Total Possible</td>
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<tr>
<td></td>
<td>Rating</td>
</tr>
<tr>
<td></td>
<td>Compliance</td>
</tr>
<tr>
<td></td>
<td>Score</td>
</tr>
<tr>
<td>Part 1. MISSION...</td>
<td>73  ÷ 75. = 97 %</td>
</tr>
<tr>
<td>Part 2. PROGRAM...</td>
<td>132 ÷ 140. = 94 %</td>
</tr>
<tr>
<td>Part 3. LEADERSHIP...</td>
<td>192 ÷ 200. = 96 %</td>
</tr>
<tr>
<td>Part 4. ORGANIZATION and MANAGEMENT...</td>
<td>66  ÷ 70. = 94 %</td>
</tr>
<tr>
<td>Part 5. HUMAN RESOURCES...</td>
<td>*89 ÷ 127. 95 = 94 %</td>
</tr>
<tr>
<td>Part 6. FINANCIAL RESOURCES...</td>
<td>28  ÷ 30. = 93 %</td>
</tr>
<tr>
<td>Part 7. FACILITIES, TECHNOLOGY, and EQUIPMENT...</td>
<td>36  ÷ 45. = 90 %</td>
</tr>
<tr>
<td>Part 8. LEGAL RESPONSIBILITIES...</td>
<td>26  ÷ 30. = 87 %</td>
</tr>
<tr>
<td>Part 9. EQUAL OPPORTUNITY, ACCESS, and AFFIRMATIVE ACTION</td>
<td>40  ÷ 40. = 100 %</td>
</tr>
<tr>
<td>Part 10. CAMPUS and COMMUNITY RELATIONS...</td>
<td>25  ÷ 25. = 100 %</td>
</tr>
<tr>
<td>Part 11. DIVERSITY...</td>
<td>34  ÷ 35. = 97 %</td>
</tr>
<tr>
<td>Part 12. ETHICS...</td>
<td>103 ÷ 105. = 98 %</td>
</tr>
<tr>
<td>Part 13. ASSESSMENT and EVALUATION...</td>
<td>26  ÷ 30. = 87 %</td>
</tr>
</tbody>
</table>

* Reduced to 95 from 125 due to no interns or student employees.

INTERPRETING THE CRITERIA SUMMARY RATINGS

A Component Compliance Score less than 50% of the Total Possible Rating value indicates need for action plans to substantially improve the component.
A Component Compliance Score greater than 50% but less than 75% of the Total Possible Rating value indicates need for action plans targeting improvement in that area.
A Component Compliance Score greater than 75% but less than 100% of the Total Possible Rating value indicates the component is functioning in a reasonably adequate way, but action plans should be developed to strengthen the area.
A Component Compliance Score of 100% of the Total Possible Rating value indicates that the component meets all essential standards, although action plans might be considered to increase program effectiveness.