

*Council for the Advancement of Standards
in Higher Education*

CAS Self-Assessment Guide for
**TRIO and Other Educational
Opportunity Programs**



One Dupont Circle, NW, Suite 300, Washington, D.C. 20036-1188

August 2012

TRIO and Other Educational Opportunity Programs

CAS Standards Contextual Statement

Students from low-income and first-generation (i.e., neither parent has a baccalaureate degree) backgrounds historically have had limited access to higher education. Realizing that the ideal of American higher education includes opportunities for all students, federal and state legislation has been enacted to mitigate some of the inequities to access. Since the 1960s, a variety of educational opportunity programs have been developed at the state and federal levels to increase access, persistence, and success in higher education for students from disadvantaged backgrounds. Additionally, foundation, corporate, and non-profit groups fund scholarship and pre-college preparation programs for these student populations.

The TRIO Programs are federally-funded educational opportunity programs designed to motivate and support students from disadvantaged backgrounds to prepare for, attend, persist in, and graduate from post-secondary education. TRIO includes eight programs that provide academic support for students who are from low-income families and are first-generation. TRIO programs serve students beginning in middle school and provide support through postsecondary education. In addition, TRIO's professional development component provides training opportunities for TRIO staff.

The TRIO programs are authorized under the U. S. Higher Education Act of 1965, Title IV, Part A, Subpart 2. FEDERAL TRIO PROGRAMS and recently reauthorized by the Higher Education Opportunity Act, August 2008. Programs are administered by the U. S. Department of Education, Office of Postsecondary Education (OPE), division of Student Service in Higher Education Programs. TRIO projects are funded through competitive grant applications. In 2012 there were 2,947 TRIO projects hosted by over 1,100 higher education institutions, schools, and community agencies. Annually TRIO programs serve over 800,000 pre-college and postsecondary students.

The initial TRIO programs included Upward Bound, which emerged from the Economic Opportunity Act of 1964 as part of President Johnson's War on Poverty; Talent Search, created in 1965 as part of the Higher Education Act; and Student Support Services, in 1968. The term "TRIO" referred to these three original federal programs. The Higher Education Amendments of 1972 added Educational Opportunity Centers, and the 1986 Amendments authorized the Ronald E. McNair Post-Baccalaureate Achievement Program. The Department of Education established the Upward Bound Math/Science Program as a subset to Upward Bound in 1990.

TRIO Program Descriptions

- Educational Opportunity Centers (EOC) provide counseling and information about college admissions and financial aid with the goal of increasing the number of adult participants who enroll in post-secondary education. Services include advising; counseling; provision of information about educational opportunities and financial assistance; help with completing applications for college admissions; testing and financial aid; coordination with educational institutions and community partnerships; and provision of referrals, tutoring, and mentoring.
- The Ronald E. McNair Post-baccalaureate Achievement program prepares undergraduates to enter doctoral studies. The goal of McNair is to increase graduate degree attainment by students from low-income, first-generation, and designated under-represented groups. Services include faculty mentoring, scholarly activities to prepare students for doctoral

study, summer research internships, tutoring, counseling, assistance with securing graduate program admission and financial aid, preparation for GRE exams, and other activities that enhance successful entry to and persistence in doctoral programs.

- The Student Support Services (SSS) program provides academic support for participants, including students with disabilities, to motivate students to complete post-secondary education with the goal of increasing participant college retention and graduation rates and to facilitate two-year college student transition to four-year institutions. Activities include basic skills instruction and tutoring; academic, financial, career and personal counseling; assistance with graduate school admission; mentoring; special services for students with limited English proficiency or are homeless or aged out of foster care systems; cultural activities; and academic accommodations for students with disabilities.
- The Talent Search program identifies, motivates, and assists participants to complete high school and enter and persist in higher education. Talent Search also serves high school dropouts by encouraging them to reenter the educational system. The goal is to increase the number of youth from disadvantaged backgrounds who complete high school and enroll in post-secondary education. Talent Search serves sixth to twelfth grade students with academic, financial, career, and personal counseling; tutoring; information about post-secondary education and college visits; completing college admissions and financial aid applications; preparation for college entrance exams; mentoring; and family involvement activities.
- Upward Bound is comprised of three programs, with intensive college preparatory projects designed to provide high school participants and military veterans with college preparation and skills to complete high school, matriculate to postsecondary, and earn a post-secondary degree. Upward Bound provides academic instruction and enrichment activities throughout the calendar year, including summer academic-year programs at college campuses. Other services include study skills; academic, financial, and personal counseling; tutoring; cultural and social activities; college visits, assistance with college entrance and financial aid applications; and preparation for college entrance exams. The Veterans Upward Bound program serves military veterans who are preparing to enter post-secondary education. The Upward Bound Math/Science program encourages students to pursue post-secondary degrees in math and science through intensive math and science curricula and experiences, computer instruction, and research activities.

Gaining Early Awareness and Readiness for Undergraduate Programs (Gear Up) is also reauthorized through the Higher Education Opportunity Act, 2008, and is administered by the U. S. Department of Education OPE. This discretionary grant program is designed to increase the number of low-income students who are prepared to enter and succeed in postsecondary education. GEAR UP provides six-year grants to states and partnerships for pre-college preparation services to high-poverty middle and high schools. GEAR UP projects serve entire cohorts of students beginning with the seventh grade and following cohorts through high school. GEAR UP funds also provide college scholarships to low-income students and funds both state and partnership grants.

Some states support educational opportunity programs designed to increase access to higher education for lower income, first-generation, and/or students historically underrepresented in higher education. An example is the New Jersey Educational Opportunity Fund created in 1968 "to ensure meaningful access to higher education for those who come from backgrounds of economic and educational disadvantage. The Fund assists low-income New Jersey residents

who are capable and motivated but lack adequate preparation for college study.” The NJEOF provides supplemental financial aid and campus-based outreach and support services at numerous public and independent New Jersey institutions.

In addition to federal and state educational opportunity programs, numerous foundation, corporate, and non-profit organizations fund scholarship and/or pre-college access and preparation programs. Examples of these include the Lumina Foundation, the I Have a Dream Foundation, Daniels Fund Scholars, Gates Millennium Scholars, National College Access Network programs such as the Ohio College Access Network, Jack Kent Cooke Foundation Scholars, and the Denver Scholarship Foundation, an example of a PromiseNet organization—a place-based community program located across the U.S. that provides the promise of a scholarship and a network of services to increase college access and success among low-income students and contributes to community economic development by providing access to postsecondary education.

The Council for Opportunity in Education (COE) is the professional association representing over 6,000+ TRIO and Gear Up personnel. COE sponsors professional development activities including national conferences, symposia, workshops, publications, and TRIO and access research through the Pell Institute for the Study of Opportunity in Higher Education; advocates for TRIO programs and students; and acts as liaison to the US Department of Education.

COE provided leadership with CAS in recognizing a need for and developing the first set of TRIO and Other EOP Standards and Guidelines in 1999 and promotes their use for TRIO and other EOP programs. Other professional associations representing educational opportunity programs include the National College Access Network and the Educational Opportunity Fund Association of New Jersey.

References, Readings, and Resources

- Council for Opportunity in Education, 1025 Vermont Avenue, N.W. Suite 900, Washington, DC 20005. (202) 347-7430. www.coenet.us
- National College Access Network. <http://www.collegeaccess.org/>
- Pathways to College Network. www.pathwaystocollege.net
- Pell Institute for the Study of Opportunity in Higher Education. www.pellinstitute.org
- U. S. Department of Education Office of Postsecondary Education Gear Up. <http://www.ed.gov/gearup>
- U. S. Department of Education Office of Postsecondary Education TRIO Programs. <http://www.ed.gov/about/offices/list/ope/trio/index.htmlprograms/gearup/index.html>
- Wolanin, T. (April, 1997). The history of TRIO: Three decades of success and counting. *NCEOA Journal*, pp. 2-4.

Contextual Statement Contributor

Andrea Reeve, Colorado State University, COE

CAS

Self-Assessment Guide (SAG)

Introduction and Instructions

I. Purpose and Organization of the Guide

The *Self-Assessment Guides* (SAG) translate functional area *CAS Standards and Guidelines* into a format enabling self-assessment. Educators can use this *Guide* to gain informed perspectives on the strengths and deficiencies of their programs and services and plan for improvements. Grounded in the self-regulation approach to quality assurance in higher education endorsed by CAS, this SAG provides institutional and unit leaders a tool to assess programs and services using currently accepted standards of practice.

The *Introduction* outlines the self-assessment process, describes how to put it into operation, and is organized into four sections. These include I. Purpose and Organization, II. Self-Assessment Process, III. Rating Examples, and IV. Formulating an Action Plan. The introduction is followed by the *Self-Assessment Worksheet*, which presents the *CAS Standards and Guidelines* for the functional area and incorporates a series of criterion measures for rating purposes.

SAG Worksheet Format. CAS standards and guidelines are organized into twelve components.

- Part 1. Mission
- Part 2. Program
- Part 3. Organization and Leadership
- Part 4. Human Resources
- Part 5. Ethics
- Part 6. Law, Policy, and Governance
- Part 7. Diversity, Equity, and Access
- Part 8. Institutional and External Relations
- Part 9. Financial Resources
- Part 10. Technology
- Part 11. Facilities and Equipment
- Part 12. Assessment and Evaluation

A rating scale designed for assessment purposes is displayed following the standards and guidelines, along with a series of criterion measures to be rated. Making performance judgments by applying the rating scale to individual items (criterion measures) is the first step in assessing the program.

II. Self-Assessment Process

CAS self-assessment procedures involve several steps:

- A. Establish the self-study process and review team
- B. Understand the CAS Standards and Guidelines and the Self-Assessment Guide
- C. Compile and review documentary evidence

- D. Judge performance
- E. Complete the assessment process

Step A: Establish and Prepare the Self-Assessment Review Team

The first step is to identify an individual to coordinate the self-assessment process. Once a leader is designated, members of the institutional community [e.g., professional staff members, faculty members, and students] need to be identified and invited to participate. Whether a sole functional area or a full division is to be reviewed, the self-study team will be strengthened by the inclusion of members from outside the area(s) undergoing review.

As a group, the review team should examine the standards carefully before implementing the study. It may be desirable for the team, in collaboration with the full staff, to discuss the meaning of each standard. Through this method, differing interpretations can be examined and agreement generally reached about how the standard will be interpreted for purposes of the self-assessment. Whatever procedures are used to arrive at judgments, deliberate discussions should occur about how to initiate the rating process and select the optimal rating strategy. In such discussions, it is expected that disagreements among team members will occur and that resulting clarifications will inform all participants. It is important that the team achieve consensual resolution of such differences before proceeding with individual ratings.

Step B: Understand the CAS Standards and Guidelines

CAS *Standards* represent essential practices as formulated by representatives of multiple professional associations concerned with student learning and development in higher education. CAS *Guidelines*, on the other hand, are suggestions for practice and serve to elaborate and amplify standards through the use of suggestions, descriptions, and examples. Guidelines can often be employed to enhance program practice. Following a long-standing CAS precedent, the functional area standards and guidelines published in *CAS Professional Standards for Higher Education (2012)* and presented in this SAG are formatted so that standards (i.e., essentials of quality practice) are printed in **bold type**. Guidelines, which complement the standards, are printed in light-face type. Standards use the auxiliary verbs “**must**” and “**shall**” while guidelines use “should” and “may.”

In this SAG, the CAS Standards and Guidelines, presented prior to each part of the SAG, have been translated into multiple criterion measures for rating purposes. Each criterion measure focuses on a particular aspect of the standard. The criterion measures are not designed to focus on completely discrete ideas, as would be true if the SAG were developed to be valid and reliable research instrument; rather, the measures are designed to capture the major ideas and elements reflected in the standards. For each of the 12 component parts, there is a series of numbered criterion measures that team members will rate. If the assessment team decides to incorporate one or more of the guidelines into the review process, each guideline can be similarly sub-divided to facilitate the rating process.

Step C: Compile and Review Documentary Evidence

Collecting and documenting evidence of program effectiveness is an important step in the assessment process. No self-assessment is complete without relevant data and related documentation being used. It is good practice for programs routinely to collect and file relevant data that can be used to document program effectiveness over time.

Documentary evidence often used to support evaluative judgments includes:

- ***Student Recruitment and Marketing Materials:*** brochures and other sources of information about the program, participation policies and procedures, and reports about program results and participant evaluations
- ***Program Documents:*** mission statements, catalogs, brochures and other related materials, staff and student manuals, policy and procedure statements, evaluation and periodic reports, contracts, and staff memos
- ***Institutional Administrative Documents:*** statements about program purpose and philosophy relative to other educational programs, organizational charts, financial resource statements, student and staff profiles, and assessment reports
- ***Research, Assessment, and Evaluation Data:*** needs assessments, follow-up studies, program evaluations, outcome measures and methodologies, and previous self-study reports
- ***Staff Activity Reports:*** annual reports; staff member vitae; service to departments, colleges, university, and other agencies; evidence of effectiveness; scholarship activities, and contributions to the profession
- ***Student Activity Reports:*** developmental transcripts, portfolios, and other evidence of student contributions to the institution, community, and professional organizations; reports of special student accomplishments; and employer reports on student employment experiences

Having a variety of evidence assists raters to make judgments about the wide range of program expectations articulated in the standards. Whatever is determined appropriate under given circumstances, multiple forms of evidence used should be reviewed and reported in the narrative section of the SAG worksheets. The self-study rating process may identify a need to obtain additional information or documentation before proceeding to lend substance to judgments about a given assessment criterion. Support documentation should be appended and referred to in the final self-assessment report.

Step D: Judge Performance

Assessment criterion measures are used to judge how well areas under review meet CAS Standards. These criterion measures are designed to be evaluated using a 5-point rating scale. In addition to the numerical rating options, *Does Not Apply* (ND) and *Insufficient Evidence/Unable to Rate* (0) ratings are provided. This rating scale is designed to estimate broadly the extent to which a given practice has been performed.

CAS CRITERION MEASURE RATING SCALE

ND	0	1	2	3	4	5
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds	Exemplary

Under rare circumstances, it may be determined that a criterion measure used to judge the standard is not applicable for the particular program (e.g., a single sex or other unique institution that cannot meet a criterion measure for that reason). In such instances, a ND

rating can be used and the rationale for excluding the practice reflected in the criterion measure presented in the self-study report. The 0 response can be used when relevant data are unavailable to support a judgment. When either the ND or the 0 ratings are used, an explanatory note should be entered. 0 items should generate careful group consideration and follow-up action as appropriate.

Program leaders may wish to incorporate additional criterion measures, such as selected CAS Guidelines or other rating scales, into the procedures before the self-assessment process begins. Such practice is encouraged, and the SAG instrument can be amended to incorporate additional criterion measure *yardsticks* for judging the program. In such instances, additional pages to accommodate the additional criterion measures may be required.

Step E: Complete the Assessment Process

A two-tiered (individual and group) judgment approach for determining the extent to which the program meets the CAS Standard is suggested. First, the self-assessment team and, if desired, the functional area staff members individually should rate each criterion measure using separate copies of the *CAS Self-Assessment Guide*. This individualized rating procedure is then followed by a collective review and analysis of the individual ratings.

The individual ratings should be reviewed and translated into a collective rating; then the team is ready to move to the interpretation phase of the self-assessment. Interpretation typically incorporates considerable discussion among team members to assure that all aspects of the program were given fair and impartial consideration prior to a final collective judgment. At this point, persistent disagreements over performance ratings may call for additional data collection. After the team review is completed, a meeting with concerned administrators, staff members, and student leaders should be scheduled for a general review of the self-assessment results. The next step, including discussion of alternative approaches that might be used to strengthen and enhance the program, is to generate steps and activities to be incorporated into an action plan. The Work Forms will guide this process.

III. Rating Examples

Rating Standard Criterion Measures

All CAS Standards, printed in **bold type**, are viewed as being essential to a sound and relevant student support program. Many of the statements contained in the standards incorporate multiple criteria that, to facilitate more precise judgment, have been subdivided into measurable parts for rating purposes. Consequently, a single statement in the standards may require several criterion measure statements that allow raters to judge it part by part rather than broadly. This approach often requires multiple judgments concerning a single statement in the standards, but leads to a more precise assessment. Using a "Mission" standard as an example, the following illustrates how several criterion measures are used to assess a single standard statement.

Part 1. MISSION

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

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures

Rating

1.1 The program

1.1.1 develops, disseminates, and implements the mission

1.1.2 regularly reviews its mission

1.2 The mission statement

1.2.1 is consistent with that of the institution

1.2.2 is consistent with professional standards

1.2.3 is appropriate for student populations and community settings

1.2.4 references learning and development

Using Guidelines to Make Judgments about the Program

As discussed above, program leaders may wish to include selected *CAS Guidelines* to be rated along with the standards. To accomplish this, criterion measure statements must be written for the guidelines selected. The self-study team can readily create statements to be judged as part of the rating process. Programs generally considered as being already in compliance with the standards can benefit especially by using guidelines in this way because guidelines typically call for enhanced program quality. The following "Financial Resources" program guidelines rating example illustrates the process.

Part 9. FINANCIAL RESOURCES

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

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

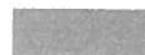
Financial resources should be sufficient to support study conceptualization, data collection, data entry and analysis, and the dissemination of assessment and research findings, as well as methodological training for staff.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures

Rating

- 9.1 The program has adequate funding to accomplish its mission and goals.
- 9.2 The program demonstrates fiscal responsibility, responsible stewardship, and cost-effectiveness consistent with institutional protocols.
- 9.3 An analysis of expenditures, external and internal resources, and impact on the campus community is completed before
 - 9.3.1 establishing funding priorities
 - 9.3.2 making significant changes
- 9.4 Financial resources are sufficient to support
 - 9.4.1 study conceptualization
 - 9.4.2 data collection
 - 9.4.3 data entry and analysis
 - 9.4.4 dissemination of assessment and research findings
 - 9.4.5 methodological training for staff



Not all programs under review will incorporate guidelines to be rated as part of their self-studies. Even though the guidelines are optional for rating purposes, raters are strongly encouraged to read and review them as part of the training process. When *CAS Guidelines* or other criterion measures are rated, they should be treated as if they were standards.

IV. Formulating an Action Plan

Typically, the assessment process will identify areas where the program is not in compliance with the standards. Action planning designed to overcome program shortcomings and provide program enhancements must then occur.

To complete the process, a final summary document should be produced that (a) explains the mission, purpose, and philosophy of the program; (b) reviews the outcome of the assessment; and (c) recommends specific plans for action. Following is an outline of recommended steps for establishing a comprehensive plan of action using the CAS self-assessment work forms. Space is provided in the SAG for recording relevant information.

1. Answer Overview Questions (In the Instrument)

- a. Respond, in writing in the space provided, to the *Overview Questions* that immediately follow the rating section of each of the 12 components.

- b. Use answers to the *Overview Questions*, which are designed to stimulate summary thinking about overarching issues, to facilitate interpretation of the ratings and development of the self-study report.

2. Identify Areas of Program Strength (Work Form A)

- a. Identify criterion measure ratings where *strength* in performance or accomplishment was noted (i.e., program exceeds criterion, generally rated 4 or 5, and viewed as *Exceeds* criteria or is *Exemplary*).
- b. Identify remaining ratings in which performance *Meets* the criterion (i.e., acceptable practice as reflected in rating of 3).

3. Identify Areas of Program Weakness (Work Form A)

- a. Identify criterion measures where program weaknesses (i.e., program shortcomings that fail to meet criterion measures and/or rating discrepancies among raters of two points or more) were noted.
- b. Identify criterion measures viewed as *Does Not Meet* or *Partly Meets* by one or more reviewer.

4. Describe Practices Requiring Follow-up (Work Form A)

- a. Note criterion measure numbers where the standard was judged to be *Insufficient Evidence/ Unable to Rate* and describe shortcomings that need to be improved.

5. Summarize Actions Required for the Program to Meet Standards (Work Form B)

- a. List each criterion measure and/or related practices that the self-study process identified as being *Insufficient Evidence/Unable to Rate, Does Not Meet, Partly Meetings*, or where rater discrepancies were noted. Be specific when noting the rationale for each shortcoming identified.
- b. List *specific actions* identified in the self-study that require implementation
- c. Prioritize the list by importance, need, and achievability of the desired change.

6. Summarize Program Enhancement Actions (Work Form C)

- a. List each specific action identified in the self-study that would enhance and strengthen services.
- b. Establish specific priorities for the action plan.

7. Write Program Action Plan

- a. Prepare a comprehensive action plan for implementing program changes.
- b. Identify resources (i.e., human, fiscal, physical) that are essential to program enhancement.
- c. Set dates by which specific actions are to be completed.

- d. Identify responsible parties to complete the action steps.
- e. Set tentative start-up date for initiating a subsequent self-study.

CAS

Self-Assessment Guide

TRIO and Other Educational Opportunity Programs

August 2012

Part 1. MISSION

The mission of TRIO and Other Educational Opportunity Programs (TOEOP) is to encourage and assist people who are traditionally under-represented in postsecondary education because of income, family educational background, disability, or other relevant federal, state/provincial, or institutional criteria, in the preparation for, entry to, and completion of a postsecondary degree.

To accomplish this mission, TOEOP must

- serve as advocates for access to higher education
- address the developmental needs of the individuals served
- provide services to assist individuals in developing and achieving educational goals
- assist individuals in acquiring the necessary skills, knowledge, and attributes to enter and complete a postsecondary education
- provide an environment that recognizes the diversity of backgrounds and learning styles of the individuals served
- develop collaborative relationships with institutions, organizations, schools, parents and families, and communities to promote an environment conducive to the completion of a postsecondary degree

TRIO and Other Educational Opportunity Programs (TOEOP) must develop, disseminate, implement, and regularly review their missions. The mission must be consistent with the mission of the institution and with professional standards. The mission must be appropriate for the institution's student populations and community settings. Mission statements must reference student learning and development.

TOEOP mission statements must be consistent with the mission and goals of the relevant governmental or other external grant or funding agency.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures		Rating
1.1	The mission of the TRIO or Other Educational Opportunity Program (TOEOP) is to encourage and assist those traditionally under-represented in postsecondary education to prepare for, enter, and complete a postsecondary degree	[]
1.2	The TOEOP	[]
1.2.1	develops, disseminates, and implements its mission	[]
1.2.2	regularly reviews its mission	[]
1.3	The TOEOP's mission statement	[]
1.3.1	is consistent with that of the institution	[]
1.3.2	is consistent with professional standards	[]

- 1.3.3 is appropriate for student populations and community settings
- 1.3.4 references learning and development
- 1.4 The TOEOP's mission statement is consistent with the mission and goals of the relevant governmental or other external grant or funding agency

Part 1. Mission Overview Questions

- A. What is the program mission?

- B. How does the mission embrace student learning and development?

- C. In what ways does the program mission complement the mission of the institution?

Part 2. PROGRAM

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

TRIO and Other Educational Opportunity Programs (TOEOP) must collaborate with colleagues and departments across the institution to promote student learning and development, persistence, and success.

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

Domain: knowledge acquisition, integration, construction, and application

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

Domain: cognitive complexity

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

Domain: intrapersonal development

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

Domain: interpersonal competence

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

Domain: humanitarianism and civic engagement

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

Domain: practical competence

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

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

TOEOP must

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

TOEOP should write student learning and development outcomes in at least two student learning and development outcome domains specific to their programs.

TOEOP must be

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

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

TOEOP must provide activities that support the matriculation, achievement, persistence, success, and graduation of their students, as relevant to the mission of their specific program.

TOEOP must address their specific learning objectives and the allowable activities of each program.

Programs, services, and activities for students involved in specific TOEOP should be relevant to the demographic profile of individuals served. Programs, services, and activities should provide or ensure access to academic support services such as academic instruction; tutoring; English as a Second Language (ESL) activities; collaborative learning opportunities; Supplemental Instruction; development of oral and written communication skills; assessment of academic needs, skills, and individual plans to provide appropriate interventions; monitoring of academic progress; preparation for proficiency and entrance exams; academic advising; opportunities for national and international study exchange; research internships; and opportunities to present and publish program reports or research.

TOEOP should implement unique programming as well as utilize and coordinate with programming at their institutions, agencies, schools, or communities.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures	Rating
2.1 The TRIO or Other Educational Opportunity Program (TOEOP) promotes student learning and development outcomes that	
2.1.1 are purposeful	
2.1.2 contribute to students' realization of their potential	
2.1.3 prepare students for satisfying and productive lives	
2.2 The TOEOP collaborates with colleagues and departments across the institution to promote student learning, development, persistence, and success	
2.3 The TOEOP	
2.3.1 assesses relevant and desirable student learning and development	
2.3.2 provides evidence of impact on outcomes	
2.3.3 articulates contributions to or support of student learning and development in the domains not specifically assessed	
2.3.4 articulates contributions to or support of student persistence and success	
2.3.5 uses evidence gathered through assessment to create strategies for improvement	
2.4 The TOEOP is	
2.4.1 intentionally designed	
2.4.2 guided by theories and knowledge of learning and development	
2.4.3 integrated into the life of the institution	
2.4.4 reflective of developmental and demographic profiles of the student population	
2.4.5 responsive to needs of individuals, populations with distinct needs, and relevant constituencies	
2.4.6 delivered using multiple formats, strategies, and contexts	
2.5 When distance education is provided, the TOEOP assists learners in achieving their education goals by providing access to	
2.5.1 information about programs and services	

Supervising

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

Managing

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

Advancing the Organization

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

Maintaining Integrity

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

TOEOP leaders must be knowledgeable about issues, trends, theories, research, and methodologies related to student learning and retention, especially with regard to populations served by their programs.

TOEOP leaders should

- participate in institutional or organizational planning, policy, procedural, and fiscal decisions that affect program and student goal achievement
- seek opportunities for additional funding, resources, and facilities, as needed
- represent the TOEOP on institutional or organizational committees
- promote community environments, where relevant to the program, services, or activities, that result in multiple opportunities for student learning and development
- collaborate with leaders of other programs to address learning needs and persistence of program participants
- educate others within the institution and community about the characteristics, challenges, and persistence of populations served by their programs

TOEOP leaders must collect, understand, and use data to make program decisions as well as to communicate to constituents about the relevance of the program within the context of the institution’s or organization’s mission, goals, and objectives.

TOEOP leaders should cultivate relationships with colleagues in their own and related professional disciplines. TOEOP leaders should be involved in research, publication, presentations, consultation, and participation in professional development opportunities.

TOEOP must be placed in the institution’s organizational structure to ensure visibility, promote cooperative interaction with appropriate campus or community entities, and enlist the support of senior administrators.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures		Rating
3.1	The TRIO or Other Educational Opportunity Program (TOEOP) has	
3.1.1	clearly stated goals	
3.1.2	current and accessible policies and procedures	
3.1.3	written performance expectations for employees	
3.1.4	functional work flow graphics or organizational charts demonstrating clear channels of authority	
3.2	In providing strategic planning, TOEOP leaders	
3.2.1	articulate a vision and mission that drive short- and long-term planning	
3.2.2	set goals and objectives based on the needs of the population served and desired student learning or development and program outcomes	
3.2.3	facilitate continuous development, implementation, and assessment of goal attainment congruent with institutional mission and strategic plans	
3.2.4	promote environments that provide meaningful opportunities for student learning, development, and engagement	
3.2.5	develop and continuously improve programs and services in response to the changing needs of students served and evolving institutional priorities	
3.2.6	intentionally include diverse perspectives to inform decision making	
3.3	In providing supervision, TOEOP leaders	
3.3.1	manage human resource processes including recruitment, selection, development, supervision, performance planning, evaluation, recognition, and reward	
3.3.2	influence others to contribute to the effectiveness and success of the unit	
3.3.3	empower professional, support, and student staff to accept leadership opportunities	

- 3.3.4 offer appropriate feedback to colleagues and students on skills needed to become more effective leaders
- 3.3.5 encourage and support professional development, collaboration with colleagues and departments across the institution, and scholarly contribution to the profession
- 3.4 In providing management, TOEOP leaders
 - 3.4.1 identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement
 - 3.4.2 plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources
 - 3.4.3 use current and valid evidence to inform decisions
 - 3.4.4 incorporate sustainability practices in the management and design of programs, services, and facilities
 - 3.4.5 understand appropriate technologies and integrate them into programs and services
 - 3.4.6 are knowledgeable about codes and laws relevant to programs and services and ensure that staff members understand their responsibilities through appropriate training
 - 3.4.7 assess potential risks and take action to mitigate them
- 3.5 In advancing the organization, TOEOP leaders
 - 3.5.1 communicate effectively in writing, speaking, and electronic venues
 - 3.5.2 advocate for programs and services
 - 3.5.3 advocate for representation in strategic planning initiatives at appropriate divisional and institutional levels
 - 3.5.4 initiate collaborative interactions with internal and external stakeholders who have legitimate concerns about and interests in the functional area
 - 3.5.5 facilitate processes to reach consensus where wide support is needed
 - 3.5.6 inform other areas within the institution about issues affecting practice
- 3.6 In maintaining integrity, TOEOP leaders
 - 3.6.1 model ethical behavior and institutional citizenship
 - 3.6.2 share data used to inform key decisions in transparent and accessible ways
 - 3.6.3 monitor media used for distributing information about programs and services to ensure the content is current, accurate, appropriately referenced, and accessible
- 3.7 TOEOP leaders are knowledgeable about issues, trends, theories, research, and methodologies related to student learning and retention
- 3.8 TOEOP leaders collect, understand, and use data to make program decisions and to communicate to constituents about the relevance of the program to the institution's or organization's mission, goals, and objectives
- 3.9 The TOEOP is placed in the institution's organizational structure to ensure visibility, promote cooperative interaction, and enlist support of senior administrators

Part 3. Organization and Leadership Overview Questions

- A. In what ways are program leaders positioned and empowered to accomplish the program mission?
- B. How do program leaders advance the organization?
- C. How are program leaders accountable for their performance?
- D. What leadership practices best describe program leaders?

Part 4. HUMAN RESOURCES

TRIO and Other Educational Opportunity Programs (TOEOP) must be staffed adequately by individuals qualified to accomplish mission and goals.

Within institutional guidelines, TOEOP must

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

TOEOP must maintain position descriptions for all staff members.

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

The size, scope, and role of the program staff depend on the mission of TOEOP and the populations served. Staffing should be based on the needs of the students or participants and the resources available. TOEOP should employ a diverse staff to provide readily identifiable role models for students and to enrich the learning community. When possible, the staff should reflect the characteristics of the population being served.

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

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

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

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

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

Degree- or credential-seeking interns or graduate assistants must be qualified by enrollment in an appropriate field of study and by relevant experience. These

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

Student employees and volunteers must be carefully selected, trained, supervised, and evaluated. They must be educated on how and when to refer those in need of additional assistance to qualified staff members and must have access to a supervisor for assistance in making these judgments. Student employees and volunteers must be provided clear job descriptions, pre-service training based on assessed needs, and continuing development.

TOEOP should hire student employees and volunteers from groups traditionally under-represented in higher education.

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

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

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

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

TOEOP professionals must possess a combination of knowledge and experience applicable to their work with individuals who are traditionally under-represented in postsecondary education.

TOEOP professional staff members should possess

- effective oral and written communication skills
- an understanding of the culture, heritage, social context (e.g., socioeconomic standing, rural vs. urban) and learning styles of the persons served by the program
- leadership, management, organizational, and human relations skills
- ability to work effectively with individuals of diverse backgrounds and ages
- openness to new ideas coupled with flexibility and willingness to change

TOEOP should provide continuing professional development opportunities for staff such as in-service training programs, TRIO professional training seminars, participation in professional conferences, workshops, mentoring, job shadowing, or other continuing education activities.

TOEOP staff should contribute to the knowledge and practice of the profession through presentations, research, or publications.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures		Rating
4.1	The TRIO or Other Educational Opportunity Program (TOEOP) is staffed adequately to accomplish mission and goals	
4.2	Within institutional guidelines, the TOEOP	
4.2.1	establishes procedures for staff recruitment and selection, training, performance planning, and evaluation	
4.2.2	sets expectations for supervision and performance	
4.2.3	assesses the performance of employees individually and as a team	
4.2.4	provides access to continuing and advanced education and appropriate professional development opportunities to improve the leadership ability, competence, and skills of all employees	
4.3	The TOEOP	
4.3.1	maintains position descriptions for all staff members	
4.3.2	institutes recruitment and hiring strategies that encourage applications from under-represented populations	
4.3.3	develops promotion practices that are fair, inclusive, proactive, and non-discriminatory	
4.3.4	considers work life initiatives, such as compressed work schedules, flextime, job sharing, remote work, or telework	
4.3.5	has technical and support staff members adequate to accomplish the mission	
4.4	TOEOP professional staff members	
4.4.1	hold earned graduate or professional degrees in fields relevant to the position or possess an appropriate combination of educational credentials and related work experience	
4.4.2	engage in continuing professional development activities	
4.5	Degree- or credential-seeking interns or graduate assistants in the TOEOP	
4.5.1	are qualified by enrollment in an appropriate field of study and by relevant experience	
4.5.2	are trained and supervised adequately by professional staff members	
4.6	Supervisors of TOEOP interns or graduate students adhere to all parameters of job descriptions, work hours, and schedules	
4.7	Student employees and volunteers	
4.7.1	are carefully selected, trained, supervised, and evaluated	
4.7.2	are educated on how and when to refer those in need of additional assistance to qualified staff members and have access to a supervisor for assistance in making these judgments	
4.7.3	are provided clear job descriptions, pre-service training based on assessed needs, and continuing development	
4.8	All TOEOP staff members, including student employees and volunteers,	
4.8.1	receive specific training on institutional policies pertaining to functions or activities they support	
4.8.2	receive specific training on privacy and confidentiality policies and laws regarding access to student records and other sensitive institutional information	

- | | |
|-------|--|
| 4.8.3 | receive training on policies and procedures related to the use of technology to store or access student records and institutional data |
| 4.8.4 | are knowledgeable about and trained in emergency procedures, crisis response, and prevention efforts and in safety and emergency procedures for securing and vacating facilities |
| 4.9 | TOEOP professionals possess a combination of knowledge and experience applicable to their work with individuals who are traditionally under-represented in postsecondary education |

Part 4. Human Resources Overview Questions

A. In what ways are staff members' qualifications examined?

B. In what ways are staff members' performance judged?

Part 5. ETHICS

TRIO and Other Educational Opportunity Programs (TOEOP) must review relevant professional ethical standards and must adopt or develop and implement appropriate statements of ethical practice.

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

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

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

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

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

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

Statements of ethical standards must reference management of institutional funds.

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

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

Statements of ethical standards must address issues surrounding scholarly integrity.

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

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

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

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

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

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

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures	Rating
5.1 The TRIO or Other Educational Opportunity Program (TOEOP) reviews relevant professional ethical standards and implements appropriate statements of ethical practice	
5.2 The TOEOP publishes and adheres to statements of ethical practice and ensures periodic review by relevant constituents	
5.3 The TOEOP orients new staff members to relevant statements of ethical practice and related institutional policies	
5.4 The TOEOP's statement of ethical standards	
5.4.1 specifies that staff members respect privacy and maintain confidentiality as appropriate	
5.4.2 specifies limits on disclosure of student records as well as requirements to disclose to appropriate authorities	
5.4.3 addresses personal and economic conflicts, or appearance thereof, by staff members in the performance of their work	
5.4.4 reflects the responsibility of staff members to be fair, objective, and impartial in their interactions with others	
5.4.5 references management of institutional funds	
5.4.6 references appropriate behavior regarding research and assessment with human participants, confidentiality of research and assessment data, and students' rights and responsibilities	
5.4.7 includes the expectation that TOEOP staff members confront and hold accountable other staff members who exhibit unethical behavior	
5.4.8 addresses issues surrounding scholarly integrity	
5.5 TOEOP staff members	

- 5.5.1 inform users of programs of ethical obligations and limitations emanating from codes and laws or from licensure requirements
- 5.5.2 recognize and avoid conflicts of interest that could influence their judgment and objectivity
- 5.5.3 perform duties within the limits of the position, training, expertise, and competence, and when limits are exceeded make referrals to persons possessing appropriate qualifications
- 5.6 Promotional and descriptive information are accurate and free of deception
- 5.7 The TOEOP adheres to institutional policies regarding ethical and legal use of software and technology

Part 5. Ethics Overview Questions

- A. What ethical principles, standards, statements, or codes guide the program and its staff members?

- B. What is the program's strategy for managing student and staff member confidentiality and privacy issues?

- C. How are ethical dilemmas and conflicts of interest managed?

- D. In what ways are staff members informed and supervised regarding ethical conduct?

Part 6. LAW, POLICY, AND GOVERNANCE

TRIO and Other Educational Opportunity Programs (TOEOP) must be in compliance with laws, regulations, and policies that relate to their respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole. Examples include constitutional, statutory, regulatory, and case law; relevant law and orders emanating from codes and laws; and the institution's policies.

TOEOP sponsored by community-based agencies or organizations must also adhere to their comparable standards.

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

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

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

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

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

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

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

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

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

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures		Rating
6.1	The TRIO or Other Educational Opportunity Program (TOEOP)	
6.1.1	is in compliance with laws, regulations, and policies that relate to its respective responsibilities and that pose legal obligations, limitations, risks, and liabilities for the institution as a whole	
6.1.2	informs staff members, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations	
6.1.3	has written policies on all relevant operations, transactions, or tasks that have legal implications	
6.1.4	regularly reviews policies to ensure that they reflect best practices, available evidence, and policy issues in higher education	
6.1.5	has procedures and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations	
6.1.6	has systems and procedures to disseminate timely and accurate information to students, other members of the institutional community, and appropriate external organizations during emergency situations	
6.1.7	obtains permission to use copyrighted materials and instruments	
6.1.8	purchases the materials and instruments from legally compliant sources or seeks permission from the publisher or owner	
6.1.9	references copyrighted materials and instruments with appropriate citations	
6.2	TOEOP staff members	
6.2.1	use reasonable and informed practices to limit the liability exposure of the institution and its officers,	

- employees, and agents
- 6.2.2 are informed about institutional policies regarding risk management, personal liability, and related insurance coverage options and are referred to external sources if the institution does not provide coverage
- 6.2.3 neither participate in nor condone any form of harassment that demeans persons or creates an intimidating, hostile, or offensive environment
- 6.2.4 are knowledgeable about internal and external governance systems that affect programs
- 6.3 The institution provides access to legal advice for TOEOP staff members as needed to carry out assigned responsibilities
- 6.4 The TOEOP adheres to the standards of any community-based agency or organization sponsoring its programs

Part 6. Law, Policy, and Governance Overview Questions

- A. What are the crucial legal, policy and governance issues faced by the program?
- B. How are staff members instructed, advised, or assisted with legal, policy and governance concerns?
- C. How are staff members informed about internal and external governance systems?

Part 7. DIVERSITY, EQUITY, AND ACCESS

Within the context of each institution's unique mission and in accordance with institutional policies and all applicable codes and laws, TRIO and Other Educational Opportunity Programs (TOEOP) must create and maintain educational and work environments that are

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

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

TOEOP must

- **advocate for greater sensitivity to multicultural and social justice concerns by the institution and its personnel**
- **modify or remove policies, practices, facilities, structures, systems, and technologies that limit access, discriminate, or produce inequities**
- **include diversity, equity, and access initiatives within their strategic plans**
- **foster communication that deepens understanding of identity, culture, self-expression, and heritage**

- **promote respect about commonalities and differences among people within their historical and cultural contexts**
- **address the characteristics and needs of a diverse population when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices**
- **provide staff members with access to multicultural training and hold staff members accountable for integrating the training into their work**
- **respond to the needs of all students and other populations served when establishing hours of operation and developing methods of delivering programs, services, and resources**
- **ensure physical, program, and resource access for persons with disabilities**
- **recognize the needs of distance learning students by providing appropriate and accessible services and resources or by assisting them in gaining access to other appropriate services and resources in their geographic region**

TOEOP must adhere to eligibility criteria set by funding sources.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures		Rating
7.1	The TRIO or Other Educational Opportunity Program (TOEOP) creates and maintains educational work environments that are	
	7.1.1 welcoming, accessible, and inclusive to persons of diverse backgrounds	
	7.1.2 equitable and non-discriminatory	
	7.1.3 free from harassment	
7.2	The TOEOP does not discriminate on the basis of ability; age; cultural identity; ethnicity; family educational history; gender identity and expression; nationality; political affiliation; race; religious affiliation; sex; sexual orientation; economic, marital, social, or veteran status; or any other basis included in institutional policies and codes and laws	
7.3	The TOEOP	
	7.3.1 advocates for sensitivity to multicultural and social justice concerns by the institution and its personnel	
	7.3.2 modifies or removes policies, practices, facilities, structures, systems, and technologies that limit access, discriminate, or produce inequities	
	7.3.3 includes diversity, equity, and access initiatives within its strategic plan	
	7.3.4 fosters communication that deepens understanding of identity, culture, self-expression, and heritage	
	7.3.5 promotes respect about commonalities and differences among people within their historical and cultural contexts	
	7.3.6 addresses the characteristics and needs of a diverse population when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices	
	7.3.7 provides staff members with access to multicultural training and holds staff members accountable for integrating the training into their work	
	7.3.8 responds to the needs of all students and other populations served when establishing hours of operation and developing methods of delivering programs, services, and resources	
	7.3.9 ensures physical, program, and resource access for persons with disabilities	
	7.3.10 recognizes the needs of distance learning students by providing appropriate and accessible services and resources or by assisting them in gaining access to other appropriate services and resources in their geographic region	
7.4	The TOEOP adheres to eligibility criteria set by funding sources	

Part 7. Diversity, Equity, and Access Overview Questions

- A. How does the program ensure non-discriminatory, fair, and equitable treatment to all constituents?
- B. What policies and/or practices are in place to address imbalances in participation among selected categories of students and imbalances in staffing patterns among selected categories of program staff members?
- C. How does the program create and maintain the educational and work environment to comply with institutional policies and all applicable codes and laws?

Part 8. INSTITUTIONAL AND EXTERNAL RELATIONS

TRIO and Other Educational Opportunity Programs (TOEOP) must reach out to relevant individuals, groups, communities, and organizations internal and external to the institution to

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

TOEOP must seek collaborative relations with program area schools, community organizations, government agencies, and students' families.

TOEOP must have procedures and guidelines consistent with institutional policy for

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

TOEOP must include a public relations component to regularly inform the institution, communities, agencies, and schools about their missions, services, and outcomes.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures

8.1 The TRIO or Other Educational Opportunity Program (TOEOP) reaches out to internal and external populations to

Rating

- 8.1.1 establish, maintain, and promote understanding and effective relations with those that have a significant interest in or potential effect on the students or other constituents served by the programs and services
- 8.1.2 garner support and resources for programs and services as defined by the mission statement
- 8.1.3 disseminate information about the programs and services
- 8.1.4 collaborate, where appropriate, to assist in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes
- 8.1.5 engage diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents
- 8.2 The TOEOP seeks collaborative relations with program area schools, community organizations, government agencies, and students' families
- 8.3 The TOEOP has procedures and guidelines consistent with institutional policy to
 - 8.3.1 communicate with the media
 - 8.3.2 contract with external organizations for delivery of programs and services
 - 8.3.3 cultivate, solicit, and manage gifts
 - 8.3.4 apply to and manage funds from grants

Part 8. Institutional and External Relations Overview Questions

- A. With which relevant individuals, campus offices, and external agencies must the program maintain effective relations?
- B. What evidence confirms effective relationships with program constituents?

Part 9. FINANCIAL RESOURCES

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

TOEOP must know and adhere to governmental and agency fiscal regulations regarding funding.

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

Opportunities for additional funding should be pursued; however, these sources should not be expected to supplant current funding.

TOEOP should negotiate with their institutions to provide additional funding to support areas underfunded by their grants.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures	Rating
9.1 The TRIO or Other Educational Opportunity Program (TOEOP) has adequate funding to accomplish its mission and goals	
9.2 An analysis of expenditures, external and internal resources, and impact on the campus community is completed before	
9.2.1 establishing funding priorities	
9.2.2 making significant changes	
9.3 The TOEOP knows and adheres to governmental and agency fiscal regulations regarding funding	
9.4 The TOEOP demonstrates efficient and effective use and responsible stewardship of fiscal resources consistent with institutional protocols	

Part 9. Financial Resources Overview Questions

- A. What is the funding strategy for the program?

- B. What evidence exists to confirm fiscal responsibility, responsible stewardship, and cost-effectiveness?

Part 10. TECHNOLOGY

TRIO and Other Educational Opportunity Programs (TOEOP) must have adequate technology to support the achievement of their mission and goals. The technology and its use must comply with institutional policies and procedures and be evaluated for compliance with relevant codes and laws.

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

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

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

TOEOP must

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

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

When providing student access to technology, TOEOP must

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

TOEOP must promote alternate access to information in formats accessible for participants and their families, especially when technology is not available to them.

TOEOP should advocate for and facilitate access to technology for program participants and their families. Technology should be employed to promote TOEOP, to provide academic and other student services, to assist participants with career exploration and the processes related to postsecondary transitions (e.g., admissions, financial aid, course registration, housing), and to communicate with students including those at outreach locations. Programs should intentionally model for their students the use of technology.

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

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

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures	Rating
10.1 The TRIO or Other Educational Opportunity Program (TOEOP) has adequate technology to support its mission and goals	
10.2 Use of technology in the TOEOP complies with institutional policies and procedures and legal requirements	
10.3 The TOEOP uses current technology to provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and designated clients	
10.4 The TOEOP explores use of technology to enhance delivery of programs and services, especially for students at a distance and external constituencies	
10.5 The TOEOP uses technology that facilitates learning and development and reflects intended outcomes	
10.6 The TOEOP	
10.6.1 maintains policies and procedures that address the security, confidentiality, and backup of data, as well as compliance with privacy laws	
10.6.2 has plans in place for protecting confidentiality and security of information when using Internet-based technologies	
10.6.3 develops plans for replacing and updating existing hardware and software as well as for integrating new technically-based or -supported programs	
10.7 Workstations and computer labs maintained by the TOEOP for student use are accessible to all designated clients and meet standards for delivery to persons with disabilities	

- 10.8 The TOEOP provides
 - 10.8.1 access to policies on technology use that are clear, easy to understand, and available to all students
 - 10.8.2 assistance, information, or referral to appropriate support services to those needing help accessing or using technology
 - 10.8.3 instruction or training on how to use technology
 - 10.8.4 information on the legal and ethical implications of misuse as it pertains to intellectual property, harassment, privacy, and social networks
- 10.9 The TOEOP promotes alternate access to information in formats accessible to participants and their families
- 10.10 Student violations of technology are addressed in student disciplinary procedures
- 10.11 A referral support system is available for students who experience negative emotional or psychological consequences from the use of technology

Part 10. Technology Overview Questions

- A. How is technology inventoried, maintained, and updated?

- B. What evidence exists to confirm that technology is available for all who are served by the program?

Part 11. FACILITIES AND EQUIPMENT

TRIO and Other Educational Opportunity Programs (TOEOP) must have adequate, accessible, and suitably located facilities and equipment to support the mission and goals. If acquiring capital equipment as defined by the institution, TOEOP must take into account expenses related to regular maintenance and life cycle costs. Facilities and equipment must be evaluated on an established cycle, including consideration of sustainability, and be in compliance with codes and laws to provide for access, health, safety, and security.

TOEOP facilities must be physically located to promote visibility of the programs and to ensure coordination with other campus or organizational programs and services.

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

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

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

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

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures		Rating
11.1	The TRIO or Other Educational Opportunity Program (TOEOP)	
11.1.1	has adequate, accessible, and suitably located facilities and equipment to support its mission and goals	
11.1.2	takes into account expenses related to regular maintenance and life-cycle costs when purchasing capital equipment	
11.2	TOEOP facilities and equipment	
11.2.1	are evaluated regularly	
11.2.2	are in compliance with relevant legal and institutional requirements that ensure access, health, safety, and security of students and other users	
11.3	TOEOP staff members have	
11.3.1	workspace that is well equipped, adequate in size, and designed to support their work	
11.3.2	access to appropriate space for private conversations	
11.3.3	the ability to adequately secure their work	
11.4	The facilities guarantee security and privacy of records and ensure confidentiality of sensitive information	
11.5	The location and layout of the facilities are sensitive to the needs of persons with disabilities as well as with the needs of other constituencies	
11.6	TOEOP facilities are located to promote visibility and ensure coordination with other programs and services	

Part 11. Facilities and Equipment Overview Questions

- A. How are facilities inventoried and maintained?

- B. What evidence exists to confirm that access, health, safety, and security of facilities and equipment are available for all who are served by the program?

Part 12. ASSESSMENT AND EVALUATION

TRIO and Other Educational Opportunity Programs (TOEOP) must have a clearly articulated assessment plan to document achievement of stated goals and learning outcomes, demonstrate accountability, provide evidence of improvement, and describe resulting changes in programs and services.

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

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

Assessments, evaluations, and annual program performance reports must be conducted in accordance with conditions required by applicable sponsoring agreements.

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

Assessments, evaluations, or annual evaluation reports should be made available, when appropriate, to the program’s various stakeholders, such as relevant campus offices, external agencies, area schools, community organizations, and program advisory committees and boards.

ND Does Not Apply	0 Insufficient Evidence/ Unable to Rate	1 Does Not Meet	2 Partly Meets	3 Meets	4 Exceeds	5 Exemplary
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Criterion Measures	Rating
12.1 The TRIO or Other Educational Opportunity Program (TOEOP) has a clearly-articulated assessment plan to	
12.1.1 document achievement of stated goals and learning outcomes	
12.1.2 demonstrate accountability	
12.1.3 provide evidence of improvement	
12.1.4 describe resulting changes	
12.2 The TOEOP has adequate resources in the following dimensions to develop and implement assessment plans:	
12.2.1 fiscal	
12.2.2 human	
12.2.3 professional development	
12.2.4 technology	
12.3 The TOEOP employs direct and indirect evaluation and qualitative and quantitative methodologies to	
12.3.1 determine achievement of mission and goals	
12.3.2 determine achievement of learning and development outcomes and whether they are met effectively and efficiently	
12.3.3 ensure comprehensiveness	
12.4 Data are collected from students and other constituencies	
12.5 Assessments are shared appropriately with multiple constituencies	
12.6 The TOEOP conducts assessments, evaluations, and annual program performance reports in accordance with conditions required by sponsoring agreements	
12.7 Assessment and evaluation results are used to	
12.7.1 identify needs and interests in revising and improving programs and services	
12.7.2 recognize staff performance	
12.7.3 maximize resource efficiency and effectiveness	
12.7.4 improve student learning and development outcomes	
12.7.5 improve student persistence and success	
12.8 Changes resulting from assessment and evaluation are shared with stakeholders	

**CAS
Work Form A**

Assessment, Ratings, and Significant Items

INSTRUCTIONS:

Step One: This work form should be completed following a review of the individual ratings of the team members. Examine the ratings of each criterion statement by the team members, and record the following in the form below:

- **Discrepancies:** Item number(s) for which there is a substantial rating discrepancy (two or more ratings apart). These items will need to be discussed further by team members.
- **Strengths:** Item number(s) for which all participants have given a rating of 4 & 5, indicating agreement that the criterion *Exceeds* the standard or is *Exemplary*.
- **Needed Improvements:** Item numbers for which all participants have given a rating of 1 & 2, indicating agreement that the criterion *Does Not Meet* or *Partly Meets* the standard.

Items not listed in one of these categories represent consensus among the raters that practice in that area is satisfactory, having been rated a 3, which indicates *Meets* the standard. Items rated 0 because of *Insufficient Evidence/Unable to Rate* should be listed in Needed Improvements.

Step Two (below): List the items needing follow-up action for improvement and indicate what requires attention. The team or coordinator should consider including any criterion measure rated as being not met by any reviewer, as well as those with significant discrepancies that are not resolved by team discussion.

Part Number	Part	Discrepancies	Strengths	Needed Improvements
1	Mission			
2	Program			
3	Organization and Leadership			
4	Human Resources			
5	Ethics			
6	Law, Policy, and Governance			

7	Diversity, Equity, and Access			
8	Institutional and External Relations			
9	Financial Resources			
10	Technology			
11	Facilities and Equipment			
12	Assessment and Evaluation			

***Step Two:* List item number(s) for each Part determined to merit follow-up, and describe the practice weaknesses that require attention.**

1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	

CAS
Work Form C
Summary Action Plan

Step Four:

This form concludes the self-assessment process and calls for action to be taken as a consequence of study results. Write a brief action plan statement in the spaces below for each Part in which action is required. (Note: If using the electronic/CD version, text boxes will expand with typing.)

Part 1: Mission

Part 2: Program

Part 3: Organization and Leadership

Part 4: Human Resources

Part 5: Ethics

Part 6: Law, Policy, and Governance

Part 7: Diversity, Equity, and Access

Part 8. Institutional and External Relations

Part 9: Financial Resources

Part 10: Technology

Part 11: Facilities and Equipment

[Empty rectangular box for content]

Part 12: Assessment and Evaluation

[Empty rectangular box for content]