Council for the Advancement of Standards in Higher Education

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

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

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

CAS MISSION STATEMENT

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

CAS STANDARDS AND GUIDELINES

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

OVER THIRTY YEARS OF PROFESSIONAL SERVICES

The Council for the Advancement of Standards in Higher Education (CAS) has been the pre-eminent force for promoting standards in student affairs, student services, and student development programs since its inception in 1979. For the ultimate purpose of fostering and enhancing student learning, development, and achievement and in general to promote good citizenship, CAS continues to create and deliver a dynamic and credible professional standards and guidelines and Self-Assessment Guides that are designed to lead to a host of quality-controlled programs and services. These standards respond to real-time student needs, the requirements of sound pedagogy, and the effective management of 45 functional areas, consistent with institutional missions. Individuals and institutions from more than 40 CAS member organizations comprise a professional constituency of over 100,000 professionals.

DISCLAIMER

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

Direct your questions to the CAS Executive Office, P.O. Box 1369, Fort Collins, CO 80522-1369,
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TRIO AND OTHER EDUCATIONAL OPPORTUNITY PROGRAMS
CAS Contextual Statement

Students from low-income and first-generation (neither parent has a baccalaureate degree) backgrounds historically have had limited access to higher education. Realizing that the ideal of American higher education must provide opportunities for all students to attend higher education, federal and state legislation has been enacted to mitigate some of the inequities to access and higher education completion. Fifty years ago, the Higher Education Act of 1965 authorized federal student financial aid. This was the *first time* that Federal scholarship monies would be distributed based on a student's low-income status. Also in the HEA Title IV, the first TRIO program, Talent Search was created to inform students about the new federal financial aid opportunities. In the 1960's, few high school and college personnel had experience working with diverse populations of young adults in higher education. Hence, Section 408 of the Higher Education Act authorized "Contracts to Encourage the Full Utilization of Educational Talent (CEFUET, later called Talent Search)", for marketing and outreach to disseminate information about the availability of federal financial aid and how to apply for it.

Since then, a variety of educational opportunity programs have developed at the state, federal, and community levels to increase student college access; assist with transitioning to higher education; and support college persistence, academic achievement, and success-completion in higher education. These college Access and Success Programs primarily provide support to students from lower income, first-generation, and other student groups underrepresented in higher education. Additionally, schools, colleges, foundations, corporations, and non-profit and other organizations fund scholarship, pre-college preparation and college support-success programs.

The TRIO Programs are the largest of the federally-funded Access and Success Programs designed to motivate and support students from disadvantaged backgrounds to prepare for, enroll, persist, transfer from two to four-schools, and graduate from postsecondary institutions. TRIO includes seven student programs providing academic and other support for students from low-income families and are first-generation. In addition, the TRIO legislation provides for professional development training opportunities specific to staff working in the TRIO functional area. TRIO programs serve students beginning in middle school and provide support through postsecondary education, including preparation for graduate-doctoral studies.

The TRIO programs are authorized under the U. S. Higher Education Act of 1965, Title IV, Part A, Subpart 2. FEDERAL TRIO PROGRAMS, and most recently reauthorized by the Higher Education Opportunity Act in August 2008. The Higher Education Act currently is in the process of another reauthorization beginning in 2015. Eligibility criteria for these programs are primarily based on low income (families at or below 150% of poverty level) and first-generation status. The concept of first-generation was first introduced as a new TRIO eligibility criteria in the 1980 Higher Education Amendments. TRIO projects are funded through competitive grant applications, in five-year cycles. In 2014-2015 there are 2,787 TRIO projects hosted by 1,000 higher education institutions, schools, and community organizations and agencies. In 2014-15, TRIO programs serve 759,094 pre-college and postsecondary students.

The initial three TRIO programs included Talent Search, created in 1965 as part of the Higher Education Act; Upward Bound, which emerged from the Economic Opportunity Act of 1964 as part of President Johnson's War on Poverty and originally housed in the Office of Economic Opportunity; 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. Veteran's Upward Bound, created in 1972, addressed educational concerns for the large

number of returning Vietnam Veterans with low educational attainment; and the Upward Bound Math-Science Program was created in 1990 to address the STEM achievement gaps for low-income and first-generation students.

The Gaining Early Awareness and Readiness for Undergraduate Programs (Gear Up) were authorized in the Higher Education Amendments of 1998, and although not TRIO programs, also provide precollege preparation for low-income students. TRIO and Gear Up are administered by the U. S. Department of Education, Office of Postsecondary Education, Division of Student Services Higher Education Programs.

TRIO **and Gear Up Program Descriptions**

- **Educational Opportunity Centers (EOC)** provide counseling and information about college admissions and financial aid to qualified adults, with the goal of increasing the number of adult participants who enroll in or continue a program of post-secondary education. Services include advising; counseling; provision of information about educational opportunities and financial assistance; financial and economic literacy; assistance with completing applications for college admissions; testing and financial aid; coordinating with educational institutions and community partnerships; and provision of referrals, tutoring, and mentoring. EOC projects may be sponsored by higher education institutions or community organizations. In 2014-2015, there are 126 EOC's serving 189,733 students.

- **The Ronald E. McNair Post-baccalaureate Achievement Program (McNair)** prepares eligible undergraduates to enter doctoral studies. The goal of McNair is to increase graduate-doctoral degree attainment by students from low-income, first-generation, and designated underrepresented 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 graduate programs, and doctoral degree attainment. McNair projects are sponsored by higher education institutions. In 2014-15, 151 Mc Nair projects serve 4,293 students.

- **The Student Support Services program (SSS)** provides academic support for low-income, first-generation students, 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, career and personal counseling; financial literacy information; 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 support for students with disabilities. SSS projects are sponsored by higher education institutions and in 2014-2015, 1,027 projects serve 202,492 students.

- **The Talent Search program** identifies, motivates, and assists participants in middle and high school 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 early college planning; 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. Talent Search projects are sponsored by higher education

institutions, community agencies or organizations and schools. In 2014-15, 450 Talent Search projects serve 310,747 students.

- **Upward Bound (UB)** 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, (or in VUB, preparation for college ready) 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. In 2014-15, 814 Classic Upward Bound projects served 61,458 students; 162 UB Math Science projects served 10,034 students; and 49 Veteran's Upward Bound served 6,566 students.

- **The Veterans Upward Bound program (VUB)** serves military veterans who are preparing to enter post-secondary education.

- **The Upward Bound Math/Science Program (UBMS)** encourages students to pursue postsecondary degrees in math and science through intensive math and science curricula and experiences, computer instruction, and research activities. Upward Bound projects are sponsored by institutions of higher education, local education agencies, nonprofit organizations, other organizations and/or agencies, state education agencies.

Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) is a competitive grant program of the U.S. Department of Education that increases the number of low-income students who are prepared to enter and succeed in postsecondary education by providing States and local community-education partnerships six-to-seven year grants to offer support services to high-poverty, middle and high schools. The program serves at least one grade level of students, beginning no later than the 7th grade, following them through high school graduation and their first year in college. GEAR UP provides early college awareness and support activities including tutoring, mentoring, academic preparation, financial education and college scholarships to improve access to higher education for low income, minority and disadvantaged first-generation students and their families. GEAR UP funds are also used to provide college scholarships to low-income students. The program mandates cooperation among K-12 schools, institutions of higher education, local and state education entities, businesses and community-based organizations. The GEAR UP initiative was authorized by Title IV of the 1998 Amendments to the Higher Education Act of 1965 (HEA) and was signed into public law (P.L.105-244) in 1998, and reauthorized through the Higher Education Opportunity Act, 2008.

State Sponsored College Access and Success Programs:
Some states support educational opportunity – college access and success 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 by law 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." In addition to supplemental financial aid to help cover college costs, the Fund supports a wide array of campus-based outreach and support services at 28 public and 13 independent institutions to facilitate college persistence and completion.

In addition to federal and state access and success 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. The Denver Scholarship Foundation is an example of a PromiseNet organization—a place-based community program 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.

TRIO and College Access and Success Professional Associations:

The Council for Opportunity in Education (COE) is the national *professional association* representing over 6,000+ TRIO, Gear Up and other college access and success program personnel. COE sponsors professional development activities including national conferences, symposia, workshops, publications, grant proposal writing workshops, TRIO training, and TRIO and access-success program research through the Pell Institute for the Study of Opportunity in Higher Education. COE advocates for TRIO programs and students and acts as liaison to the US Department of Education for TRIO programs. Other *professional associations* representing college access and success programs include the National College Access Network (NCAN) and the Educational Opportunity Fund Association of New Jersey.

COE provides leadership with CAS in recognizing a need for and developing the first set of TRIO and Other EOP Standards and Guidelines in 1999; revised in 2008, and promotes their use for TRIO and other college access and success programs.

Trends:

Current trends expand federally funded TRIO and Gear Up programs and other educational opportunity programs to include the array of College Access and Success Programs, encouraging collaboration and partnerships amongst the college access and success community. The Council for Opportunity in Education provides funding for state TRIO programs to network and collaborate with other state college access and success programs and state departments of education and higher education to increase the numbers of low-income, first-generation, and other student groups underrepresented in higher education preparing for, enrolling and completing college; and to decrease the educational achievement gaps for these populations.

Another trend is the recognition of a need for, and the development of specialized professional development and higher education graduate level courses and programs specific to professionals working in the college access and success functional area. This increased recognition of the functional professional area also influences TRIO and other Access and Success Program staff to use the CAS TRIO and Other Educational Opportunity Program Standards and Guidelines.

References, Readings, and Resources

Council for Opportunity in Education: www.coenet.us
National College Access Network: http://www.collegeaccess.org/
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://www2.ed.gov/programs/gearup/index.html
U. S. Department of Education Office of Postsecondary Education TRIO Programs:
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TRIO AND OTHER EDUCATIONAL OPPORTUNITY PROGRAMS

CAS Standards and Guidelines

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

TOEOP must develop, disseminate, implement, and regularly review their missions, which must be consistent with the mission of the institution and with applicable professional standards. The mission must be appropriate for the institution's students and other constituents. 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.

Part 2. PROGRAM

To achieve their mission, TRIO and Other Educational Opportunity Programs (TOEOP) must contribute to
- students' formal education, which includes both the curriculum and the co-curriculum
- student progression and timely completion of educational goals
- preparation of students for their careers, citizenship, and lives
- student learning and development

To contribute to student learning and development, TOEOP must
- identify relevant and desirable student learning and development outcomes
- articulate how the student learning and development outcomes align with the six CAS student learning and development domains and related dimensions

- **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**
- **use evidence gathered to create strategies for improvement of programs and services**

STUDENT LEARNING AND DEVELOPMENT DOMAINS AND 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 Development Outcomes* statement for examples of outcomes related to these domains and dimensions.]

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**
- **designed to provide universal access**

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

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.

Part 3. ORGANIZATION AND LEADERSHIP

To achieve program and student learning and development outcomes, TRIO and Other Educational Opportunity Programs (TOEOP) must be purposefully structured for effectiveness. TOEOP must have clearly stated and current
- **goals and outcomes**
- **policies and procedures**
- **responsibilities and performance expectations for personnel**
- **organizational charts demonstrating clear channels of authority**

Leaders must model ethical behavior and institutional citizenship.

Leaders with organizational authority for TOEOP must provide strategic planning, management and supervision, and program advancement.

Strategic Planning
- **articulate a vision and mission that drive short- and long-term planning**
- **set goals and objectives based on the needs of the populations served, intended student learning and development outcomes, and program outcomes**

- **facilitate continuous development, implementation, and assessment of program effectiveness and goal attainment congruent with institutional mission and strategic plans**
- **promote environments that provide opportunities for student learning, development, and engagement**
- **develop, adapt, and improve programs and services in response to the changing needs of populations served and evolving institutional priorities**
- **include diverse perspectives to inform decision making**

Management and Supervision
- **plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources**
- **manage human resource processes including recruitment, selection, professional development, supervision, performance planning, succession planning, evaluation, recognition, and reward**
- **influence others to contribute to the effectiveness and success of the unit**
- **empower professional, support, and student personnel to become effective leaders**
- **encourage and support collaboration with colleagues and departments across the institution**
- **encourage and support scholarly contributions to the profession**
- **identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement**
- **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 programs and services meet those requirements**
- **assess and take action to mitigate potential risks**

Program Advancement
- **advocate for and actively promote the mission and goals of the programs and services**
- **inform stakeholders about issues affecting practice**
- **facilitate processes to reach consensus where wide support is needed**
- **advocate for representation in strategic planning initiatives at divisional and institutional levels**

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.

Part 4. HUMAN RESOURCES

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

TOEOP must have access to technical and support personnel adequate to accomplish their mission.

Within institutional guidelines, TOEOP must
- **establish procedures for personnel recruitment and selection, training, performance planning, and evaluation**
- **set expectations for supervision and performance**
- **provide personnel access to continuing and advanced education and appropriate professional development opportunities to improve their competence, skills, and leadership capacity**
- **consider work/life options available to personnel (e.g., compressed work schedules, flextime, job sharing, remote work, or telework) to promote recruitment and retention of personnel**

Administrators of TOEOP must
- **ensure that all personnel have updated position descriptions**
- **implement recruitment and selection/hiring strategies that produce a workforce inclusive of under-represented populations**
- **develop promotion practices that are fair, inclusive, proactive, and non-discriminatory**

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.

Personnel responsible for delivery of TOEOP must have written performance goals, objectives, and outcomes for each year's performance cycle to be used to plan, review, and evaluate work and performance. The performance plan must be updated regularly to reflect changes during the performance cycle.

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

TOEOP personnel, when hired and throughout their employment, must receive appropriate and thorough training.

TOEOP personnel, including student employees and volunteers, must have access to resources or receive specific training on
- institutional policies pertaining to functions or activities they support
- privacy and confidentiality policies
- laws regarding access to student records
- policies and procedures for dealing with sensitive institutional information
- policies and procedures related to technology used to store or access student records and institutional data
- how and when to refer those in need of additional assistance to qualified personnel and have access to a supervisor for assistance in making these judgments
- systems and technologies necessary to perform their assigned responsibilities
- ethical and legal uses of technology

TOEOP personnel 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 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.

Administrators of TOEOP must ensure that personnel are knowledgeable about and trained in safety, emergency procedures, and crisis prevention and response. Risk management efforts must address identification of threatening conduct or behavior and must incorporate a system for responding to and reporting such behaviors.

TOEOP personnel must be knowledgeable of and trained in safety and emergency procedures for securing and vacating facilities.

PROFESSIONAL PERSONNEL

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

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

INTERNS OR GRADUATE ASSISTANTS

Degree- or credential-seeking interns or graduate assistants must be qualified by enrollment in an appropriate field of study and relevant experience. These students must be trained and supervised by professional personnel who possess applicable educational credentials and work experience and have supervisory experience. Supervisors must be cognizant of the dual roles interns and graduate assistants have as both student and employee.

Supervisors must
- **adhere to parameters of students' job descriptions**
- **articulate intended learning outcomes in student job descriptions**
- **adhere to agreed-upon work hours and schedules**
- **offer flexible scheduling when circumstances necessitate**

Supervisors and students must both agree to suitable compensation if circumstances necessitate additional hours.

STUDENT EMPLOYEES AND VOLUNTEERS

Student employees and volunteers must be carefully selected, trained, supervised, and evaluated. Students must have access to a supervisor. 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.

Part 5. ETHICS

TRIO and Other Educational Opportunity Programs (TOEOP) must
- **review applicable professional ethical standards and must adopt or develop and implement appropriate statements of ethical practice**
- **publish and adhere to statements of ethical practice and ensure their periodic review**
- **orient new personnel to relevant ethical standards and statements of ethical practice and related institutional policies**

Statements of ethical standards must
- **specify that TOEOP personnel respect privacy and maintain confidentiality in communications and records as delineated by privacy laws**
- **specify limits on disclosure of information contained in students' records as well as requirements to disclose to appropriate authorities**
- **address conflicts of interest, or appearance thereof, by personnel in the performance of their work**
- **reflect the responsibility of personnel to be fair, objective, and impartial in their interactions with others**
- **reference management of institutional funds**
- **reference appropriate behavior regarding research and assessment with human participants, confidentiality of research and assessment data, and students' rights and responsibilities**
- **include the expectation that personnel confront and hold accountable other personnel who exhibit unethical behavior**
- **address issues surrounding scholarly integrity**

TOEOP personnel must
- **employ ethical decision making in the performance of their duties**
- **inform users of programs and services of ethical obligations and limitations emanating from codes and laws or from licensure requirements**
- **recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation**
- **perform their duties within the scope of their position, training, expertise, and competence**
- **make referrals when issues presented exceed the scope of the position**

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 have access to legal advice needed for personnel to carry out their assigned responsibilities.

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

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

TOEOP must have written policies and procedures on 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 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.

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

TOEOP must inform personnel about internal and external governance organizations that affect programs and services.

Part 7. DIVERSITY, EQUITY, AND ACCESS

Within the context of each institution's mission and in accordance with institutional policies and applicable codes and laws, TRIO and Other Educational Opportunity Programs (TOEOP) must create and maintain educational and work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.

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

TOEOP must

- advocate for sensitivity to multicultural and social justice concerns by the institution and its personnel
- ensure physical, program, and resource access for all constituents
- modify or remove policies, practices, systems, technologies, facilities, and structures that create barriers or produce inequities
- ensure that when facilities and structures cannot be modified, they do not impede access to programs, services, and resources
- establish goals for diversity, equity, and access
- foster communication and practices that enhance understanding of identity, culture, self-expression, and heritage
- promote respect for commonalities and differences among people within their historical and cultural contexts
- address the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices
- provide personnel with diversity, equity, and access training and hold personnel accountable for applying the training to their work
- respond to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources
- recognize the needs of distance and online learning students by directly providing or assisting them to gain access to comparable services and resources

TOEOP must adhere to eligibility criteria set by funding sources.

Part 8. INTERNAL AND EXTERNAL RELATIONS

TRIO and Other Educational Opportunity Programs (TOEOP) must reach out to 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
- collaborate 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
- disseminate information about the programs and services

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

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

TOEOP must have procedures and guidelines consistent with institutional policy for

- **communicating with the media**
- **distributing information through print, broadcast, and online sources**
- **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.

Part 9. FINANCIAL RESOURCES

TRIO and Other Educational Opportunity Programs (TOEOP) must have funding to accomplish the mission and goals.

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

TOEOP must use the budget as a planning tool to reflect commitment to the mission and goals of the programs and services and of the institution.

TOEOP must administer funds in accordance with established institutional accounting procedures.

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

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

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

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

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.

Part 10. TECHNOLOGY

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

TOEOP must use technologies to
- **provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and other constituents in accessible formats**
- **provide an avenue for students and other constituents to communicate sensitive information in a secure format**
- **enhance the delivery of programs and services for all students**

TOEOP must
- **back up data on a regular basis**
- **adhere to institutional policies regarding ethical and legal use of technology**
- **articulate policies and procedures for protecting the confidentiality and security of information**
- **implement a replacement plan and cycle for all technology with attention to sustainability**
- **incorporate accessibility features into technology-based programs and services**

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 information or referral to support services for those needing assistance in accessing or using technology**
- **provide instruction or training on how to use the technology**
- **inform students of implications of misuse of technologies**

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.

Part 11. FACILITIES AND EQUIPMENT

TRIO and Other Educational Opportunity Programs' (TOEOP) facilities must be intentionally designed and located in suitable, accessible, and safe spaces that demonstrate universal design and support the program's mission and goals.

Facilities must be designed to engage various constituents and promote learning.

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

Personnel must have workspaces that are suitably located and accessible, well equipped, adequate in size, and designed to support their work and responsibilities.

The design of the facilities must guarantee the security and privacy of records and ensure the confidentiality of sensitive information and conversations. Personnel must be able to secure their work.

TOEOP must incorporate sustainable practices in use of facilities and purchase of equipment. Facilities and equipment must be evaluated on an established cycle and be in compliance with codes, laws, and accepted practices for access, health, safety, and security.

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

Part 12. ASSESSMENT

TRIO and Other Educational Opportunity Programs (TOEOP) must develop assessment plans and processes.

Assessment plans must articulate an ongoing cycle of assessment activities.

TOEOP must
- specify programmatic goals and intended outcomes
- identify student learning and development outcomes
- employ multiple measures and methods
- develop manageable processes for gathering, interpreting, and evaluating data
- document progress toward achievement of goals and outcomes
- interpret and use assessment results to demonstrate accountability
- report aggregated results to respondent groups and stakeholders
- use assessment results to inform planning and decision-making
- assess effectiveness of implemented changes
- provide evidence of improvement of programs and services

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

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.

TOEOP must employ ethical practices in the assessment process.

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

General Standards revised in 2014;
TOEOP content developed/revised in 1999 & 2008