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

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

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

CAS MISSION STATEMENT

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

CAS STANDARDS AND GUIDELINES

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

OVER FORTY YEARS OF PROFESSIONAL SERVICES

The Council for the Advancement of Standards in Higher Education (CAS) has been the pre-eminent force for promoting standards in student affairs, student services, and student development programs since its inception in 1979. For the ultimate purpose of fostering and enhancing student learning, development, and success and in general to promote good citizenship, CAS continues to create and deliver a dynamic and credible book of professional standards and guidelines and Self-Assessment Guides that are designed to lead to a host of quality-controlled programs and services. These standards respond to real-time student needs, the requirements of sound pedagogy, and the effective management of over 45 functional areas, consistent with institutional missions. Individuals and institutions from more than 40 CAS member organizations comprise a professional constituency of over 115,000 professionals.

DISCLAIMER

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

Please direct your questions to the CAS Executive Director (executive_director@cas.edu or 202-862-1400).
TRIO AND COLLEGE ACCESS PROGRAMS
CAS Contextual Statement

Students from low-income and first-generation (i.e., neither parent has a baccalaureate degree) backgrounds have historically had limited access to higher education. Realizing that the ideal of American higher education must provide opportunities for all students to attend higher education, United States federal and state legislation has been enacted to mitigate some of the inequities both with access and 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. In the 1960s, 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 access to college for students; assist with transitioning to higher education; and support college persistence, academic achievement, and completion in higher education. Today, the commonly accepted description of these programs are college access and success programs. They primarily provide support to students from lower income, first-generation, and other groups underrepresented in higher education. Many of the programs are hosted by schools and school districts, colleges, foundations, corporations, and non-profit and other organizations to fund scholarship, pre-college preparation, and college support/success programs.

The TRIO programs are the largest of the federally funded college access and success programs designed to motivate and support students from lower socioeconomic backgrounds to prepare for, enroll in, persist, transfer from two year to four-year schools, and graduate from postsecondary institutions. The TRIO programs are authorized under the U. S. Higher Education Act of 1965, Title IV, Part A, Subpart 2, and most recently reauthorized by the Higher Education Opportunity Act in 2008. As of 2018, congress is currently engaged in the process of reauthorizing another HEA.

TRIO includes seven student programs providing academic and other support for students from low-income families and who are first-generation. In addition, the TRIO legislation provides for professional development training opportunities specific to personnel working in the TRIO functional area (U.S. Department of Education, 2018f). TRIO programs serve students beginning in middle school and provide support through postsecondary education, including preparation for graduate-doctoral studies. 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 TRIO eligibility criteria in the 1980 Higher Education Amendments. TRIO projects are funded through competitive grant applications, in five-year cycles. In 2017-2018 there were 3,105 TRIO projects hosted by approximately 1,000 higher education institutions, schools, and community organizations and agencies (COE, 2017). In 2017-18, TRIO programs served 809,794 pre-college and postsecondary students (COE, 2017).

The three initial 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" was established with the Higher Education Amendments of 1968 to consolidate these programs under one overall program (Dortch, 2018). The Higher Education Amendments of 1972 added Educational Opportunity Centers, and the 1986 Amendments authorized the Ronald E. McNair Post-Baccalaureate Achievement Program. Veterans 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 (Groutt, 2003).

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 pre-college preparation for low-income students. TRIO and GEAR UP are administered by the U.S. Department of Education, Office of Postsecondary Education, and Division of Student Services.

**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 postsecondary 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 (U.S. Department of Education, 2018a).

- The Ronald E. McNair Postbaccalaureate 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 (U.S. Department of Education, 2018c).

- The Student Support Services program (SSS) provides academic support for low-income, first-generation students, including students with disabilities, to motivate students to complete postsecondary 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 who are homeless or aged out of foster care systems; cultural activities; and academic support for students with disabilities (U.S. Department of Education, 2018d).

- The Talent Search program (TS) 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 postsecondary education. Talent Search serves 6th to 12th grade students with early college planning; academic, financial, career, and personal counseling; tutoring; information about postsecondary 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 (U.S. Department of Education, 2018e).

- 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), matriculate to postsecondary institutions, and earn a postsecondary 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 (U.S. Department of Education, 2018h).

- The Veterans Upward Bound program (VUB) is designed to motivate and assist veterans in the development of academic and other requisite skills necessary for acceptance and success in a program of postsecondary education. The program provides assessment and enhancement of basic skills through counseling, mentoring, tutoring and academic instruction. The primary goal of the program is to increase the rate at which participants enroll in and complete postsecondary education programs (U.S. Department of Education, 2018i).

- 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, and state education agencies (U.S. Department of Education, 2018g).

- Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) is a competitive grant program that aims to increase the number of low-income students prepared to enter and succeed in postsecondary education. GEAR UP provides six- to seven-year grants to states and local community-education partnerships 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 (U.S. Department of Education, 2018b).

### State Sponsored College Access Programs

Some states support educational opportunity college access programs designed to increase access to higher education for lower income, first-generation, and/or students historically underrepresented in higher education. One 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 (NJEOP, n.d.). 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 private institutions to facilitate college persistence and completion.

In addition to federal and state access programs, numerous foundations, corporations, and non-profit organizations fund scholarship and/or college access and preparation programs. Examples of these include the Lumina Foundation; I Have a Dream Foundation; Daniels Fund Scholars; Gates Millennium Scholars; National College Access Network (NCAN) programs, such as the Ohio College Access Network; and Jack Kent Cooke Foundation Scholars. The Denver Scholarship Foundation is an example of a Promise Nation 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 that contributes to community economic development by providing access to postsecondary education (Miller-Adams, 2015).

### TRIO and College Access Programs 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 program personnel. COE sponsors professional development activities including national conferences, symposia, workshops, publications, grant proposal writing workshops, TRIO training, and TRIO and access 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 U.S. Department of Education for TRIO programs. The National College Access Network (NCAN) and the Educational Opportunity Fund Association of New Jersey also represent significant associations of professionals working in college access programs.

COE provides leadership within the field, historically working CAS to recognize a need for and develop the first set of TRIO and Other EOP Standards and Guidelines in 1999. These standards were revised in 2008, and revised and renamed in 2018 as TRIO and College Access Programs.

**Trends**

Current trends include expanding the definition of college access programs from federally funded TRIO and GEAR UP programs to include the array of college access programs, encouraging collaboration and partnerships amongst the college access community. COE provides funding for state TRIO programs to network and collaborate with other state college access programs, state departments of education, and higher education institutions. Through these collaborations, COE and its partners seek to increase the numbers of low-income, first-generation, and other underrepresented student groups in higher education preparing for, enrolling, and completing college; and 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 functional area. This increased recognition of the functional area underscores the importance of these CAS standards and guidelines for professionals working in TRIO and college access programs.

An emerging trend is the development of active partnerships and relationships among professional associations that are expanding their work to address the critical areas of college access. COE has brokered partnerships with NASPA, Diversity Abroad, NACADA, and Complete College America (CCA) at the national level to assist those organizations in their efforts to support and train higher education professionals. COE has also worked with regional and chapter associations to develop partnerships with associations and organizations in their states. Together, these partnerships help all practitioners to assist and serve the increasingly diverse student populations entering and striving to succeed in postsecondary education.

**REFERENCES**


CONTEXTUAL STATEMENT CONTRIBUTORS

Current Edition
Trent Ball, Southeast Missouri State University, COE
V. Kaye Monk-Morgan, Wichita State University
Andrea Reeve, Colorado State University, COE
Valdis Zalite, Southeast Missouri State University
TRIO AND COLLEGE ACCESS PROGRAMS
CAS Standards and Guidelines

Guiding Principle: Students and Their Environments

PART 1. MISSION

1.1 Programs and Services Mission

The mission of TRIO and College Access Programs (TCAP) must be to encourage and assist people who are traditionally underrepresented 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.

TCAP must develop and define its mission.

TCAP must serve as advocates for access to higher education and campus environments conducive to the success of program participants.

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

Mission statements of TCAP funded by governmental or other external funding agencies must be consistent with the missions of the applicable funding agencies.

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

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

1.2 Mission Statement

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

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

PART 2. PROGRAM AND SERVICES

2.1 Program and Services Goals

TRIO and College Access Programs (TCAP) must be guided by a set of written goals and objectives that are directly related to the stated mission.

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

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

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

2.2 Program Information and Services
TCAP must provide relevant information, services, and resources consistent with its mission and goals.

**TCAP must provide activities and experiences that support the matriculation, persistence, academic success, and graduation of their students.**

Programs, services, and activities for students involved in specific TCAP should be relevant to the specific program mission and demographic profile of individuals served and should include the provision of or 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

TCAP may provide academic instruction and advising, mentoring, tutoring, summer bridge, campus visits, assistance with financial aid and literacy, admissions and college entry, and/or preparation for graduate school. TCAP programs may also provide internships, research, and international experiences.

TCAP should implement unique programming as well as utilize and coordinate with programming at their institutions, agencies, schools, community organizations, or foundations.

TCAP should partner with faculty and staff members, student groups, alumni, and community members who can be role models, lend technical assistance to students, and assist with programming, mentoring and general support.

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

### 2.3 Program Structure and Framework

**TCAP must have clearly stated, current, relevant, and documented**

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

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

**TCAP must advocate to be placed in the institution’s organizational structure in a position that ensures visibility of its programs.**
Regardless of organizational structures, TCAP must work in close consultation and collaboration with others with expertise and resources to meet the needs and interests of students and designated clients.

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

2.4 Program Design

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

PART 3. STUDENT LEARNING, DEVELOPMENT, AND SUCCESS

3.1 Program Contribution to Student Learning, Development, and Success

TRIO and College Access Programs (TCAP) must contribute to students’ formal education, which includes both curricular and co-curricular experiences.

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

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

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

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

TCAP must implement strategies and tactics to achieve these outcomes.

3.2 Student Learning and Development Domains and Dimensions

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

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

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

Domain: knowledge acquisition, integration, construction, and application

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

Domain: cognitive complexity

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

Domain: intrapersonal development

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

Domain: interpersonal competence

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

Domain: humanitarianism and civic engagement

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

Domain: practical competence

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

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

3.3 Assessment of Student Learning and Development

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

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

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

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

PART 4. ASSESSMENT

4.1 Establishing a Culture of Assessment

TRIO and College Access Programs (TCAP) must develop assessment plans and processes that document progress toward achievement of mission, goals, outcomes, and objectives.
TCAP must ensure that annual program performance reports and assessment and evaluation of student learning and academic outcomes are conducted in accordance with conditions required by applicable sponsoring agreements.

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

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

4.2 Program Goals, Outcomes, and Objectives

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

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

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

4.3 Assessment Plan and Process

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

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

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

TCAP must employ ethical practices in the assessment process.

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

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

4.4 Gathering Evidence

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

TCAP must employ multiple methods and measures of data collection.

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

TCAP must adhere to institutional policies related to data access and management.
TCAP must ensure measures and methods are rigorous and reflect characteristics of validity, reliability, and trustworthiness.

4.5 Review and Interpret Findings

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

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

4.6 Reporting Results and Implementing Improvement

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

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

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

TCAP must monitor improvements implemented based on assessment results.

TCAP must apply results for future planning.

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

TCAP assessments, evaluations, and 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.

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

PART 5. ACCESS, EQUITY, DIVERSITY, AND INCLUSION

5.1 Inclusive and Equitable Educational and Work Environments

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

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

5.2 Organizational Aspects of Access, Equity, Diversity, and Inclusion
TCA must provide equitable access to facilities and resources for all constituents.

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

TCA should support an inclusive environment that recognizes the diversity of backgrounds and learning styles of the individuals served.

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

5.3 Advocating for Access, Equity, Diversity, and Inclusion

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

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

TCA should be active in diversity councils and all institutional committees focused on aspects of education for underrepresented students.

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

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

TCA personnel whose student populations include disabled students should seek continuing education or training from disability experts in institutional, community, governmental, or professional organizations.

5.4 Implementing Access, Equity, Diversity, and Inclusion

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

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

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

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

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

Personnel within TCA must promote respect for commonalities and differences among people within their historical and cultural contexts.
When educational and/or workplace accommodations are requested, TCAP must provide individuals with an interactive process to determine reasonable accommodations.

Guiding Principle: Organization, Leadership, and Human Resources

PART 6. LEADERSHIP, MANAGEMENT, AND SUPERVISION

6.1 Leadership

TRIO and College Access Programs (TCAP) leaders must model ethical behavior and demonstrate alignment with institutional mission, goals, and ethical practices.

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

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

TCAP leaders must communicate to constituents about the relevance of the program within the context of the institution's or organization's mission, goals, and objectives.

TCAP 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.

TCAP leaders must be aware of and knowledgeable about legislative issues and trends that may affect TCAP.

TCAP leaders must promote cooperative interaction with appropriate campus or community entities and enlist the support of senior administrators.

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

6.2 Management

TCAP managers must

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

6.3 Supervision

TCAP supervisors must

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

6.4 Strategic Planning

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

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

PART 7. HUMAN RESOURCES

7.1 Staffing and Support

TRIO and College Access Programs (TCAP) must identify the level of staffing necessary to achieve its mission and goals.

The size, scope, and role of TCAP personnel should depend on the mission of TCAP and the populations served.

Staffing should be based on the characteristics and needs of the students or participants and the resources available.

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

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

TCAP 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.

TCAP professionals must possess a combination of knowledge and experience applicable to their work with individuals who are traditionally underrepresented in postsecondary education.

TCAP professional personnel should demonstrate
  • effective oral and written communication skills
  • an understanding of the culture, heritage, social context (e.g., first generation, economic 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

7.2 Employment Practices

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

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

TCAP should employ a diverse staff to provide readily identifiable role models for students and to enrich the learning community.

TCAP should recruit personnel with backgrounds and experiences that reflect the population served.

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

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

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

7.3 Personnel Training and Development

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

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

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

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

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

TCAP personnel must have access to resources and receive specific training on policies, procedures, and laws related to
• the programs and services they support
• privacy and confidentiality
• student records and sensitive institutional information
• systems and technologies necessary to perform their assigned responsibilities
• sexual misconduct, harassment, and workplace violence
TCAP personnel must be trained on how to recognize and address systems of oppression in the workplace and facilitate a welcoming, inclusive work environment.

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

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

7.4 Paraprofessional Personnel

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

TCAP should hire interns or graduate assistants who participated in TCAP.

TCAP should hire student employees and volunteers from groups traditionally underrepresented in higher education. These student employees may even be current or former participants in TCAP.

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

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

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

PART 8. COLLABORATION AND COMMUNICATION

8.1 Collaboration

TRIO and College Access Programs (TCAP) personnel must collaborate and consult with institutional leaders, faculty, individuals, and departments essential to the success of the program.

TCAP must have collaborative partnerships and relations with other institutional departments for ease of referral and shared programming.

TCAP leaders should cultivate relationships with colleagues in their respective and related professional disciplines and collaborate with institutional partners such as offices of multicultural student programs.
and services and disability resources and services to promote shared commitments and support
opportunities for students engaged in TCAP.

TCAP must collaborate with individuals, groups, communities, and organizations to
• establish, maintain, and promote understanding and effective relations
• garner support and resources
• meet the needs of students, designated clients, and other constituents
• achieve program and student outcomes
• engage diverse populations to enrich the educational environment
• disseminate information about programs and services
• solve problems pertinent to the student population, designated clients, or the
  organization

TCAP leaders must develop and maintain partnerships and cooperative agreements with
program area schools, community organizations, foundations, and governmental agencies that
provide support for underrepresented students seeking access to college.

TCAP must cultivate collaborative relationships with students’ families.

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

8.2 Communication

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

TCAP must develop and implement strategies for outreach and promotion.

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

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

8.3 Procedures and Guidelines

TCAP must have and follow procedures and guidelines consistent with institutional policy for
• communicating with the media
• distributing information through print, broadcast, and online sources
• the use of social media
• contracting with external organizations for delivery of programs and services
• developing relationships with donors
• dissemination of relevant information in a timely manner to all constituents

Guiding Principle: Ethical Considerations

PART 9. ETHICS, LAW, AND POLICY

9.1 Ethical Statements
TRIO and College Access Programs (TCAP) must review and adopt appropriate standards of ethical practice including those of applicable professional associations.

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

9.2 Ethical Practice

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

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

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

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

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

TCAP must address issues surrounding scholarly integrity.

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

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

9.3 Legal Obligations and Responsibilities

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

TCAP sponsored by external agencies or organizations must also adhere to their regulations and policies and must comply with and fulfill all obligations stipulated in any grant or other source of funding.

In accordance with governmental laws, institutional policy, and standards of good professional practice, TCAP personnel who are concerned about students' well-being must ensure that they are referred to appropriate resources.
TCAP must have a process for accessing legal advice needed for personnel to carry out their assigned responsibilities.

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

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

9.4 Policies and Procedures

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

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

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

9.5 Communication of Ethical and Legal Obligations

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

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

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

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

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

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

9.6 Addressing Harassment and Hostile Environments

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

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

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

PART 10. FINANCIAL RESOURCES
10.1 Funding

TRIO and College Access Programs (TCAP) must have the funding that is necessary to accomplish its mission and goals.

TCAP must determine with administrative leadership what funding is necessary.

TCAP should pursue opportunities for additional funding, while also advocating that these sources should not be expected to supplant current funding.

TCAP should advocate with their institutions to provide additional funding to support areas underfunded by their grants.

10.2 Financial Planning

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

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

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

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

10.3 Financial Management

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

TCAP must adhere to eligibility criteria set by funding sources.

TCAP must know and adhere to fiscal regulations regarding funding received from external program area schools, governmental, and agencies.

TCAP must demonstrate responsible stewardship and use of fiscal resources.

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

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

TCAP procurement procedures must

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

PART 11. TECHNOLOGY

11.1 Systems Management

TRIO and College Access Programs (TCAP) must have current technology to support the achievement of its mission and goals.

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

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

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

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

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

11.2 User Engagement

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

TCAP should employ technology to
• promote academic and other student services
• assist participants with career exploration and the processes related to postsecondary transitions
• communicate with students, including those at outreach locations

TCAP must ensure that technology addresses constituent needs.

TCAP should advocate for and facilitate access to technology for program participants and their families.

TCAP must employ technologies that facilitate user interaction.

TCAP must provide secure remote access.

11.3 Compliance and Information Security

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

TCAP must comply with governmental codes and laws and with institutional technology policies and procedures.
TCAP must provide a secure platform when conducting financial transactions, in accordance with industry best practices.

11.4 Communication

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

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

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

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

PART 12. FACILITIES AND INFRASTRUCTURE

12.1 Design of Facilities

TRIO and College Access Programs (TCAP) facilities must be located in suitable spaces designed to support the functional area’s mission and goals.

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

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

TCAP should advocate for space that allows students to gather, meet, study, and build a peer support network.

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

TCAP must incorporate universal design principles.

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

12.2 Work Space

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

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

12.3 Equipment Acquisition

When acquiring capital equipment, TCAP must take into account expenses related to regular maintenance and life cycle costs.
TCAP must incorporate sustainable practices when purchasing equipment.

12.4 Facilities and Equipment Use

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

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

TCAP must develop sustainable practices for facilities use.

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

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

*General Standards revised in 2018; TCAP content developed/revised in 1999, 2008, & 2018*

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