Council for the
Advancement of Standards in Higher Education

www.cas.edu

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

The mission of the Council for the Advancement of Standards in Higher Education (CAS) is to promote the improvement of programs and services to enhance the quality of student learning and development. CAS is a consortium of professional associations who work collaboratively to develop and promulgate standards and guidelines and to encourage self-assessment.

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 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 43 functional areas, consistent with institutional missions. Individuals and institutions from nearly 40 CAS member organizations comprise a professional constituency of over 100,000 professionals.

DISCLAIMER

The standards and guidelines published in "The Book of 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, One Dupont Circle NW Suite 300 Washington, DC 20036-1188, 202-862-1400, (email contact: Marybeth Drechsler Sharp, Interim Executive Director, www.cas.edu)

The Role of TRIO and Other Educational Opportunity Programs

CAS Standards Contextual Statement

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

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

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

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

TRIO Program Descriptions

- Educational Opportunity Centers (EOC) provide counseling and information about college admissions and financial aid with the goal of increasing the number of adult participants who enroll in post-secondary education. Services include advising; counseling; provision of information about educational opportunities and financial assistance; help with completing applications for college admissions; testing and financial aid; coordination with educational institutions and community partnerships; and provision of referrals, tutoring, and mentoring.

- The Ronald E. McNair Post-baccalaureate Achievement program prepares undergraduates to enter doctoral studies. The goal of McNair is to increase graduate degree attainment by

students from low-income, first-generation, and designated under-represented groups. Services include faculty mentoring, scholarly activities to prepare students for doctoral study, summer research internships, tutoring, counseling, assistance with securing graduate program admission and financial aid, preparation for GRE exams, and other activities that enhance successful entry to and persistence in doctoral programs.

- The Student Support Services (SSS) program provides academic support for participants, including students with disabilities, to motivate students to complete post-secondary education with the goal of increasing participant college retention and graduation rates and to facilitate two-year college student transition to four-year institutions. Activities include basic skills instruction and tutoring; academic, financial, career and personal counseling; assistance with graduate school admission; mentoring; special services for students with limited English proficiency or are homeless or aged out of foster care systems; cultural activities; and academic accommodations for students with disabilities.

- The Talent Search program identifies, motivates, and assists participants to complete high school and enter and persist in higher education. Talent Search also serves high school dropouts by encouraging them to reenter the educational system. The goal is to increase the number of youth from disadvantaged backgrounds who complete high school and enroll in post-secondary education. Talent Search serves sixth to twelfth grade students with academic, financial, career, and personal counseling; tutoring; information about post-secondary education and college visits; completing college admissions and financial aid applications; preparation for college entrance exams; mentoring; and family involvement activities.

- Upward Bound is comprised of three programs, with intensive college preparatory projects designed to provide high school participants and military veterans with college preparation and skills to complete high school, matriculate to postsecondary, and earn a post-secondary degree. Upward Bound provides academic instruction and enrichment activities throughout the calendar year, including summer academic-year programs at college campuses. Other services include study skills; academic, financial, and personal counseling; tutoring; cultural and social activities; college visits, assistance with college entrance and financial aid applications; and preparation for college entrance exams. The Veterans Upward Bound program serves military veterans who are preparing to enter post-secondary education. The Upward Bound Math/Science program encourages students to pursue post-secondary degrees in math and science through intensive math and science curricula and experiences, computer instruction, and research activities.

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

Some states support educational opportunity programs designed to increase access to higher education for lower income, first-generation, and/or students historically underrepresented in higher education. An example is the New Jersey Educational Opportunity Fund created in 1968 "to ensure meaningful access to higher education for those who come from backgrounds of economic and educational disadvantage. The Fund assists low-income New Jersey residents who are capable and motivated but lack adequate preparation for college study." The NJEOF provides supplemental financial aid and campus-based outreach and support services at numerous public and independent New Jersey institutions.

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

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

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

References, Readings, and Resources

Council for Opportunity in Education, 1025 Vermont Avenue, N.W. Suite 900, Washington, DC 20005. (202) 347-7430. www.coenet.us

National College Access Network. http://www.collegeaccess.org/

Pathways to College Network. www.pathwaystocollege.net

Pell Institute for the Study of Opportunity in Higher Education. www.pellinstitute.org

U. S. Department of Education Office of Postsecondary Education Gear Up. http://www.ed.gov/gearup

U. S. Department of Education Office of Postsecondary Education TRIO Programs. http://www.ed.gov/about/offices/list/ope/trio/index.htmlprograms/gearup/index.html

Wolanin, T. (April, 1997). The history of TRIO: Three decades of success and counting. *NCEOA Journal,* pp. 2-4.

Contextual Statement Contributor

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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**

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

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

Part 2. PROGRAM

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

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

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

Domain: knowledge acquisition, integration, construction, and application

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

Domain: cognitive complexity

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

Domain: intrapersonal development

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

Domain: interpersonal competence

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

Domain: humanitarianism and civic engagement

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

Domain: practical competence

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

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

TOEOP must

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

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

TOEOP must be

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

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

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

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

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

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

Part 3. ORGANIZATION AND LEADERSHIP

To achieve student and program outcomes, TRIO and Other Educational Opportunity Programs (TOEOP) must be structured purposefully and organized effectively. TOEOP must have

- **clearly stated goals**
- **current and accessible policies and procedures**
- **written performance expectations for employees**

- **functional work flow graphics or organizational charts demonstrating clear channels of authority**

Leaders with organizational authority for the programs and services must provide strategic planning, supervision, and management; advance the organization; and maintain integrity through the following functions:

Strategic Planning

- **articulate a vision and mission that drive short- and long-term planning**
- **set goals and objectives based on the needs of the population served and desired student learning or development and program outcomes**
- **facilitate continuous development, implementation, and assessment of goal attainment congruent with institutional mission and strategic plans**
- **promote environments that provide meaningful opportunities for student learning, development, and engagement**
- **develop and continuously improve programs and services in response to the changing needs of students served and evolving institutional priorities**
- **intentionally include diverse perspectives to inform decision making**

Supervising

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

Managing

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

Advancing the Organization

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

Maintaining Integrity

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

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

TOEOP leaders should

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

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

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

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

Part 4. HUMAN RESOURCES

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

Within institutional guidelines, TOEOP must

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

TOEOP must maintain position descriptions for all staff members.

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

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

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

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

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

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

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

Degree- or credential-seeking interns or graduate assistants must be qualified by enrollment in an appropriate field of study and by relevant experience. These individuals must be trained and supervised adequately by professional staff members holding educational credentials and related work experience appropriate for supervision. Supervisors must be cognizant of the roles of interns and graduate

assistants as both student and employee and closely adhere to all parameters of their job descriptions, work hours, and schedules. Supervisors and the interns or graduate assistants must agree to compensatory time or other appropriate compensation if circumstances necessitate additional hours.

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

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

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

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

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

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

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

TOEOP professional staff members should possess

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

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

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

Part 5. ETHICS

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

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

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

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

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

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

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

Statements of ethical standards must reference management of institutional funds.

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

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

Statements of ethical standards must address issues surrounding scholarly integrity.

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

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

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

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

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

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

Part 6. LAW, POLICY, AND GOVERNANCE

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

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

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

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

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

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

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

TOEOP must have procedures and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations. Systems and procedures must be in place to disseminate timely and accurate information to students, other

members of the institutional community, and appropriate external organizations during emergency situations.

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

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

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

Part 7. DIVERSITY, EQUITY, AND ACCESS

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

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

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

TOEOP must

- **advocate for greater sensitivity to multicultural and social justice concerns by the institution and its personnel**
- **modify or remove policies, practices, facilities, structures, systems, and technologies that limit access, discriminate, or produce inequities**
- **include diversity, equity, and access initiatives within their strategic plans**
- **foster communication that deepens understanding of identity, culture, self-expression, and heritage**
- **promote respect about commonalities and differences among people within their historical and cultural contexts**
- **address the characteristics and needs of a diverse population when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices**
- **provide staff members with access to multicultural training and hold staff members accountable for integrating the training into their work**

- **respond to the needs of all students and other populations served when establishing hours of operation and developing methods of delivering programs, services, and resources**
- **ensure physical, program, and resource access for persons with disabilities**
- **recognize the needs of distance learning students by providing appropriate and accessible services and resources or by assisting them in gaining access to other appropriate services and resources in their geographic region**

TOEOP must adhere to eligibility criteria set by funding sources.

Part 8. INSTITUTIONAL AND EXTERNAL RELATIONS

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

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

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

TOEOP must have procedures and guidelines consistent with institutional policy for

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

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

Part 9. FINANCIAL RESOURCES

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

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

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

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

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

Part 10. TECHNOLOGY

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

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

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

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

TOEOP must

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

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

When providing student access to technology, TOEOP must

- **have policies on the use of technology that are clear, easy to understand, and available to all students**
- **provide assistance, information, or referral to appropriate support services to those needing help accessing or using technology**

- **provide instruction or training on how to use the technology**
- **inform students on the legal and ethical implications of misuse as it pertains to intellectual property, harassment, privacy, and social networks**

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

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

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

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

Part 11. FACILITIES AND EQUIPMENT

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

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

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

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

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

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

Part 12. ASSESSMENT AND EVALUATION

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

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

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

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

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

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

General Standards revised in 2011;
TOEOP content developed/revised in 1999 & 2008