

# CAS

## TRIO AND OTHER EDUCATIONAL OPPORTUNITY PROGRAMS

### SELF-ASSESSMENT GUIDE

#### Introduction and Instructions

##### I Purpose and Organization of the Guide

This *Self-Assessment Guide* (SAG) translates the *CAS TRIO and Other Educational Opportunity Programs Standards and Guidelines* into a format enabling self-assessment. Educators can use this *Guide* to gain informed perspectives on the strengths and deficiencies of their services and programs and to plan for improvements. Grounded in the self-regulation approach to quality assurance in higher education endorsed by CAS, this SAG provides institutional and agency leaders a tool to assess programs and services using current generally accepted standards of practice.

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

**SAG Worksheet Format.** CAS standards and guidelines are organized into thirteen components, presented in boxed text.

- Part 1. Mission
- Part 2. Program
- Part 3. Leadership
- Part 4. Organization and Management
- Part 5. Human Resources
- Part 6. Financial Resources
- Part 7. Facilities, Technology, and Equipment
- Part 8. Legal Responsibilities
- Part 9. Equity and Access
- Part 10. Campus and External Relations
- Part 11. Diversity
- Part 12. Ethics
- Part 13. Assessment and Evaluation

A rating scale designed for assessment purposes is displayed following the boxed standards and guidelines along with a series of criterion measures to be rated. Space is provided to add selected CAS guidelines or other assessment items. Making performance judgments by applying the rating scale to individual items (criterion measures) facilitates an initial assessment of the program. Space is provided to reference and enter notes about responses to a given item. Such notes are especially important when questions are raised and when rater discrepancies occur.

##### II Self-Assessment Process

CAS self-assessment procedures involve several steps including:

- Establishing the self-study process and review team
- Understanding the CAS Standards and Guidelines and the Self-Assessment Guide
- Compiling and reviewing documentary evidence
- Judging performance
- Completing the assessment process

### **Step One: Establish and Prepare the Self-Assessment Review Team.**

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

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

### **Step Two: Understanding the CAS Standards and Guidelines.**

CAS *Standards* represent best practices as formulated by representatives of multiple professional associations concerned with student learning and development in higher education. CAS *Guidelines*, on the other hand, are suggestions for practice and serve to elaborate and amplify standards through the use of suggestions, descriptions, and examples. Guidelines can often be employed to enhance program practice. Following a long-standing CAS precedent, the functional area standards and guidelines published in *The CAS Book of Professional Standards for Higher Education 2003* and presented in Part II of this SAG are formatted so that standards (i.e., essentials of quality practice) are printed in **bold type**. Guidelines, which complement the standards, are printed in slightly smaller, light-face type. Standards use the auxiliary verbs “**must**” and “**shall**” while guidelines use “should” and “may.”

In this SAG, the CAS Standards and Guidelines, presented in boxed text format, have been translated into multiple criterion measures for rating purposes. Each criterion measure focuses on a particular aspect of the standard. For each of the 13 component parts, there is a series of numbered criterion measures that team members may rate. If the assessment team decides to incorporate one or more of the guidelines into the review process, each guideline can be similarly sub-divided to facilitate the rating process (see III Rating Examples).

### **Step Three: Compile and Review Documentary Evidence.**

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

Documentary evidence often used to support evaluative judgments includes:

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

- *Student Activity Reports*: developmental transcripts, portfolios, and other evidence of student contributions to the institution, community, and professional organizations; reports of special student accomplishments; and employer reports on student employment experiences

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

#### **Step Four: Judging Performance.**

Assessment criterion measures are used to judge how well areas under review meet CAS Standards. These criterion measures, provided in the *Work Form* section of the SAG, are designed to use a 4-point rating scale. In addition to the numerical rating options, *Not Rated* (NR) and *Not Done* (ND) ratings are provided. This rating scale is designed to estimate broadly the extent to which a given practice has been performed.

#### **CAS CRITERION MEASURE RATING SCALE**

ND Not Done	1 Not Met	2 Minimally Met	3 Well Met	4 Fully Met	NR Not Rated
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Under rare circumstances, it may be determined that a criterion measure used to judge the standard is not applicable for the particular program (e.g., a single sex or other unique institution that cannot meet a criterion measure for that reason). In such instances, a ND rating can be used and the rationale for excluding the practice reflected in the criterion measure presented in the self-study report. The NR response can be used when relevant data are unavailable to support a judgment. When either the ND or the NR ratings are used, an explanatory note should be entered. NR items should generate careful group consideration and follow-up action as appropriate.

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

#### **Step Five: Completing the Assessment Process.**

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

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

### **III Rating Examples**

#### **Rating Standard Criterion Measures.**

All CAS Standards, printed in **bold type**, are viewed as being essential to a sound and relevant student support program and include the verbs “**must**” or “**shall**.” Likewise, many standard statements incorporate multiple criteria that, to facilitate more precise judgment, have been subdivided into

measurable parts for rating purposes. Consequently, a single standard statement may require several criterion measure statements that allow raters to judge it part by part rather than broadly. This approach often requires multiple judgments concerning a specific standard statement, but facilitates accomplishing a more precise assessment. Using a “Program” standard as an example, the following illustrates how several criterion measures are used to assess a single standard statement.

## Part 2: Program

**Programs must identify relevant and desirable student learning and development outcomes and provide programs and services that encourage the achievement of those outcomes.**

ND	1	2	3	4	NR
Not Done	Not Met	Minimally Met	Well Met	Fully Met	Not Rated

Criterion Measures	Rating Scale	NOTES: List Criterion Number
2.1 The program promotes student learning and development that is purposeful and holistic.	ND 1 2 3 4 NR	
2.2 The program has identified student learning and development outcomes that are relevant to its purpose	ND 1 2 3 4 NR	
2.3 The program provides students with opportunities designed to encourage achievement of the identified outcomes.	ND 1 2 3 4 NR	

### **Using Guidelines to Make Judgments about the Program.**

The CAS Standards are often accompanied by guidelines. Because many guidelines can provide additional evidence of good practice, program leaders may wish to include selected guidelines to be rated along with the standards. To accomplish this, criterion measure statements must be written for the guidelines selected. The self-study team can readily create statements to be judged as part of the rating process. Programs generally considered as being in compliance with the standards can benefit especially by using guidelines in this way because guidelines typically call for enhanced program quality. The following “Human Resources” program guidelines rating example illustrates the process.

## Part 5. Human Resources

**The program must employ qualified professional, technical, and support staff members who have the ability to provide well-maintained facilities, services, and programs that are responsive to student development goals, student input, and student participation inherent in its mission.**

Desirable qualities of staff members should include: (a) knowledge of and ability to use management and leadership principles, including the effective management of volunteers; (b) skills in assessment, planning, training, and evaluation; (c) interpersonal skills; (d) technical skills; (e) understanding the program’s mission; (f) commitment to institutional mission; and (g) understanding of and ability to apply student development and learning theories.

ND	1	2	3	4	NR
Not Done	Not Met	Minimally Met	Well Met	Fully Met	Not Rated

Team Created Criterion Measures	Rating Scale	NOTES: List Criterion Number
Guideline 5: Staff members possess knowledge and skills to		
5a manage volunteers	ND 1 2 3 4 NR	
5b train volunteers	ND 1 2 3 4 NR	
5c evaluate volunteers	ND 1 2 3 4 NR	
5d apply student development theory	ND 1 2 3 4 NR	
5e apply learning theories . .	ND 1 2 3 4 NR	

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

## IV. Formulating an Action Plan

Typically, the assessment process will identify discrepancies between the program and the standards. Action planning designed to overcome program shortcomings and provide program enhancements must then occur.

To complete the process, a final summary document that (1) explains the mission, purpose, and philosophy of the program; (2) reviews available data; and (3) recommends specific plans for action

needs to be prepared. The CAS SAG includes worksheet space for formulating the action plan. Following is an outline of recommended steps for establishing a comprehensive plan of action using the CAS self-assessment worksheet. Space is provided in the SAG for recording relevant information.

### **Step 1. Answer Overview Questions**

- a. Respond, in writing in the space provided, to the *Overview Questions* that immediately follow the rating section of each of the 13 components.
- b. Use answers to the Overview Questions, which are designed to stimulate summary thinking about overarching issues, to facilitate interpretation of the ratings and development of the self-study report.

### **Step 2. Identify Areas of Program Strength**

- a. Identify criterion measure ratings where *excellent* performance or accomplishment (i.e., program exceeds criterion and is viewed as excellent or exemplary) was noted (Step 2, Work Form A).
- b. identify criterion measures in which performance was found to be *satisfactory or good* (acceptable practice).

### **Step 3. Identify Areas of Program Weakness**

- a. Identify criterion measures where program weaknesses (i.e., program shortcomings that fail to meet criterion measures and/or rating discrepancies among raters of two points or more) were noted (Step 2, Work Form A).
- b. Identify criterion measures viewed as being *Unsatisfactory* by one or more reviewer.
- c. Circle the criterion measure item numbers for each measure determined to fall short of satisfactory practice (Step 1, Work Form A).

### **Step 4. Describe Practices Requiring Follow-up**

- a. Note criterion measure numbers for practices deemed less than satisfactory and describe practice shortcomings that need to be strengthened (Step 3, Work Form A).

### **Step 5. Summarize Actions Required for the Program to Meet Standards (Step 4, Work Form B)**

- a. List each criterion measure and/or related practices that the self-study process identified as being "Not Done," "Unsatisfactory," or wherein rater discrepancies were noted. Be specific when noting the rationale for each shortcoming identified.
- b. List *specific actions* identified in the self-study that require implementation (Step 3, Work Form B)
- c. Prioritize the list by importance, need, and achievability of the desired change.

### **Step 6. Summarize Program Enhancement Actions (Step 5, Work Form C)**

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

### **Step 7. Write Program Action Plan**

- a. Prepare a comprehensive action plan for implementing program changes.
- b. Identify resources (i.e., human, fiscal, physical) that are essential to program enhancement.
- c. Set dates by which specific actions are to be completed (Work Form B).
- d. Identify responsible parties to complete the action steps (Work Form B).
- e. Set tentative start-up date for initiating a subsequent self-study.

# CAS

## Self-Assessment Guide

### TRIO and Other Educational Opportunity Programs

August 2003

#### Part 1: MISSION

The mission of TRIO and Other Educational Opportunity (TRIO and OEO) Programs is to encourage and assist people who are traditionally under-represented in post-secondary 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 post-secondary education.

To accomplish this mission, TRIO and OEO programs must:

- serve as advocate for access to higher education
- provide services to assist individuals to achieve their educational goals
- facilitate the educational development of individuals served
- provide an environment that recognizes the diversity of backgrounds and learning styles of the individuals served
- develop collaborative relationships with institutions, organizations, and communities to promote an environment conducive to the completion of a post-secondary education

TRIO and OEO programs must incorporate student learning and student development in its mission. TRIO and OEO programs must enhance overall educational experiences. TRIO and OEO programs must develop, record, disseminate, implement and regularly review its mission and goals. Mission statements must be consistent with the mission and goals of the institution and with the standards in this document. TRIO and OEO programs must operate as an integral part of the institution's overall mission.

TRIO and OEO programs should address the developmental needs of the individuals served. Programs and services should enable the individual to acquire the necessary skills and attributes to complete a post-secondary education.

ND	1	2	3	4	NR
Not Done	Not Met	Minimally Met	Well Met	Fully Met	Not Rated

PART 1. MISSION <i>(Criterion Measures)</i>	Rating Scale	NOTES List Criterion Number
1.1 A program mission and goals statement is in place and is reviewed periodically.	ND 1 2 3 4 NR	
1.2 Student learning, development, and educational experiences are incorporated in the mission statement.	ND 1 2 3 4 NR	
1.3 The mission is consistent with that of the host institution and the CAS standards.	ND 1 2 3 4 NR	
1.4 The program advocates for equal access to higher education and facilitates educational development.	ND 1 2 3 4 NR	
1.5 The program provides an environment that helps students regardless of learning style or background.	ND 1 2 3 4 NR	
1.6 The program develops relationships to promote student completion of higher education.	ND 1 2 3 4 NR	

1.7 The program functions as an integral part of the host institution's overall mission.	ND 1 2 3 4 NR	
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**Part 1: Mission Overview Questions**

1.1 What is the program mission?

1.2 How does the mission embrace student learning and development?

1.3 In what ways does the program mission complement the mission of the institution?

**Part 2: PROGRAM**

**The formal education of students consists of the curriculum and the co-curriculum, and must promote student learning and development that is purposeful and holistic. TRIO and Other Educational Opportunity (TRIO and OEO) Programs must identify relevant and desirable student learning and development outcomes and provide programs and services that encourage the achievement of those outcomes.**

**Relevant and desirable outcomes include: intellectual growth, effective communication, realistic self-appraisal, enhanced self-esteem, clarified values, career choices, leadership development, healthy behaviors, meaningful interpersonal relationships, independence, collaboration, social responsibility, satisfying and productive lifestyles, appreciation of diversity, spiritual awareness, and achievement of personal and educational goals.**

**TRIO and OEO programs must provide evidence of its impact on the achievement of student learning and development outcomes.**

The table below offers examples of evidence of achievement of student learning and development.

<b>Relevant, Desirable Student Learning and Development Outcomes</b>	<b>Examples of Evidence of Achievement</b>
<b>Intellectual Growth</b>	Produces personal and educational goal statements; Employs critical thinking in problem solving; Uses complex information from a variety of sources including personal experience and observation to form a decision or opinion; Obtains a degree; Applies previously understood information and concepts to a new situation or setting; Expresses appreciation for literature, the fine arts, mathematics, sciences, and social sciences
<b>Effective Communication</b>	Writes and speaks coherently and effectively; Writes and speaks after reflection; Able to influence others through writing, speaking or artistic expression; Effectively articulates abstract ideas; Uses appropriate syntax; Makes presentations or gives performances
<b>Enhanced Self-Esteem</b>	Shows self-respect and respect for others; Initiates actions toward achievement of goals; Takes reasonable risks; Demonstrates assertive behavior; Functions without need for constant reassurance from others

<b>Realistic Self-Appraisal</b>	Articulates personal skills and abilities; Makes decisions and acts in congruence with personal values; Acknowledges personal strengths and weaknesses; Articulates rationale for personal behavior; Seeks feedback from others; Learns from past experiences
<b>Clarified Values</b>	Articulates personal values; Acts in congruence with personal values; Makes decisions that reflect personal values; Demonstrates willingness to scrutinize personal beliefs and values; Identifies personal, work and lifestyle values and explains how they influence decision-making
<b>Career choices</b>	Articulate career choices based on assessment of interests, values, skills and abilities; Documents knowledge, skills and accomplishments resulting from formal education, work experience, community service and volunteer experiences; Makes the connections between classroom and out-of-classroom learning; Can construct a resume with clear job objectives and evidence of related knowledge, skills and accomplishments; Articulates the characteristics of a preferred work environment; Comprehends the world of work; Takes steps to initiate a job search or seek advanced education
<b>Leadership Development</b>	Articulates leadership philosophy or style; Serves effectively in a leadership position in a student organization; Comprehends the dynamics of a group; Exhibits democratic principles as a leader; Exhibits ability to visualize a group purpose and desired outcomes
<b>Healthy Behavior</b>	Chooses behaviors and environments that promote health and reduce risk; Articulate the relationship between health and wellness and accomplishing life long goals; Exhibits behaviors that advance a healthy community.
<b>Meaningful Interpersonal Relationships</b>	Develops and maintains satisfying interpersonal relationships; Establishes mutually rewarding relationships with friends and colleagues; Listens to and considers others' points of view; Treats others with respect
<b>Independence</b>	Exhibits self-reliant behaviors; Functions autonomously; Exhibits ability to function interdependently; Accepts supervision as needed; Manages time effectively
<b>Collaboration</b>	Works cooperatively with others; Seeks the involvement of others; Seeks feedback from others; Contributes to achievement of a group goal; Exhibits effective listening skills
<b>Social Responsibility</b>	Understands and participates in relevant governance systems; Understands, abides by, and participates in the development, maintenance, and/or orderly change of community, social, and legal standards or norms; Appropriately challenges the unfair, unjust, or uncivil behavior of other individuals or groups; Participates in service/volunteer activities
<b>Satisfying and Productive Lifestyle</b>	Achieves balance between education, work and leisure time; Articulates and meets goals for work, leisure and education; Overcomes obstacles that hamper goal achievement; Functions on the basis of personal identity, ethical, spiritual and moral values; Articulates long-term goals and objectives/
<b>Appreciating Diversity</b>	Understands ones own identity and culture. Seeks involvement with people different from oneself; Seeks involvement in diverse interests; Articulate the advantages and challenges of a diverse society; Challenges appropriately abusive use of stereotypes by others; Understands the impact of diversity on one's own society
<b>Spiritual Awareness</b>	Develops and articulates personal belief system; Understands roles of spirituality in personal and group values and behaviors
<b>Personal and Educational Goals</b>	Sets, articulates, and pursues individual goals; Articulate personal and educational goals and objectives; Uses personal and educational goals to guide decisions; Understands the effect of one's personal and educational goals on others

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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<b>PART 2. PROGRAM</b> ( <i>Criterion Measures</i> )	<b>Rating Scale</b>	<b>NOTES:</b> List Criterion Number
2.1 The program promotes student learning and development that is purposeful and holistic.	ND 1 2 3 4 NR	

2.2 The program has identified student learning and development outcomes that are relevant to its purpose	ND 1 2 3 4 NR	
2.3 The program provides students with opportunities designed to encourage achievement of the identified outcomes.	ND 1 2 3 4 NR	
2.4 The program provides evidence of its impact on the achievement of student learning and development outcomes in the domains checked <u>List student learning and/or developmental outcomes in spaces provided</u>		
2.4.1 <input type="checkbox"/> Intellectual Growth	ND 1 2 3 4 NR	
2.4.2 <input type="checkbox"/> Effective Communication	ND 1 2 3 4 NR	
2.4.3 <input type="checkbox"/> Enhanced Self-Esteem	ND 1 2 3 4 NR	
2.4.4 <input type="checkbox"/> Realistic Self-Appraisal	ND 1 2 3 4 NR	
2.4.5 <input type="checkbox"/> Clarified Values	ND 1 2 3 4 NR	
2.4.6 <input type="checkbox"/> Career Choices	ND 1 2 3 4 NR	
2.4.7 <input type="checkbox"/> Leadership Development	ND 1 2 3 4 NR	
2.4.8 <input type="checkbox"/> Healthy Behavior	ND 1 2 3 4 NR	
2.4.9 <input type="checkbox"/> Meaningful Interpersonal Relationships	ND 1 2 3 4 NR	
2.4.10 <input type="checkbox"/> Independence	ND 1 2 3 4 NR	
2.4.11 <input type="checkbox"/> Collaboration	ND 1 2 3 4 NR	

2.4.12 <input type="checkbox"/> Social Responsibility	ND 1 2 3 4 NR	
2.4.13 <input type="checkbox"/> Satisfying and Productive Lifestyle	ND 1 2 3 4 NR	
2.4.14 <input type="checkbox"/> Appreciate Diversity	ND 1 2 3 4 NR	
2.4.15 <input type="checkbox"/> Spiritual Awareness	ND 1 2 3 4 NR	
2.4.16 <input type="checkbox"/> Personal and Educational Goals	ND 1 2 3 4 NR	
2.5 Program offerings are intentional, coherent and based on theories of learning and human development	ND 1 2 3 4 NR	
2.6 Program offerings are designed to meet the developmental needs of relevant student populations and communities	ND 1 2 3 4 NR	
2.7 Program offerings support the retention and graduation of students.	ND 1 2 3 4 NR	

**TRIO and OEO programs must be (a) intentional, (b) coherent, (c) based on theories and knowledge of learning and human development, (d) reflective of developmental and demographic profiles of the student population, and (e) responsive to needs of individuals, special populations, and communities.**

**All TRIO and OEO programs must support the retention and graduation of their students.**

**Activities and services must address the specific objectives of each TRIO and OEO programs.**

Programs, services, and activities for students involved in specific TRIO and OEO programs should include 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 research.

Programming should also include a variety of mentoring experiences; career development and work internship activities; activities to assist with college admissions and financial aid; activities to prepare students for matriculation into graduate education; coordination with clubs and school activities; academic and cultural field trips; social activities; activities to encourage appreciation of cultural and ethnic diversity; athletic and physical development; leadership development; and other activities that promote matriculation into post-secondary or graduate schools, and support retention, persistence, and graduation.

TRIO and OEO programs should also implement programming with their own institution or agency, and with schools, community, and student families to accomplish their mission.

## **Part 2: Program Overview Questions**

2.1 What are the primary elements of the program?

2.2 What evidence exists that confirms the program contributes to student learning and development?

2.3 What evidence is available to confirm program goals' achievement?

## **Part 3: LEADERSHIP**

**Effective and ethical leadership is essential to the success of all organizations. Institutions must appoint, position, and empower TRIO and Other Educational Opportunity (TRIO and OEO) program leaders within the administrative structure to accomplish stated missions. TRIO and OEO program leaders at various levels must be selected on the basis of formal education and training, relevant work experience, personal skills and competencies, relevant professional credentials, as well as potential for promoting learning and development in students, applying effective practices to educational processes, and enhancing institutional effectiveness. Institutions must determine expectations of accountability for leaders and fairly assess their performance.**

**TRIO and OEO program leaders must exercise authority over resources for which they are responsible to achieve their respective missions.**

**TRIO and OEO program leaders must:**

- **articulate a vision for their organization**
- **set goals and objectives based on the needs and capabilities of the population served**
- **promote student learning and development**
- **prescribe and practice ethical behavior**
- **recruit, select, supervise, and develop others in the organization**
- **manage financial resources**
- **coordinate human resources**
- **plan, budget for, and evaluate personnel and programs**
- **apply effective practices to educational and administrative processes**
- **communicate effectively**
- **initiate collaborative interaction between individuals and agencies that possess legitimate concerns and interests in the functional area**

**TRIO and OEO program leaders must identify and find means to address individual, organizational, or environmental conditions that inhibit goal achievement.**

**TRIO and OEO program leaders must promote campus environments that result in multiple opportunities for student learning and development.**

**TRIO and OEO program leaders must continuously improve programs and services in response to changing needs of students and other constituents, and evolving institutional priorities.**

ND Not Done	1 Not Met	2 Minimally Met	3 Well Met	4 Fully Met	NR Not Rated
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PART 3. LEADERSHIP <i>(Criterion Measures)</i>	Rating Scales	NOTES: List Criterion Number
3.1 The host institution has selected, positioned, and empowered a program leader.	ND 1 2 3 4 NR	
3.2 Program leaders at all levels are qualified on the bases of education, experience, competence, and professional credentials.	ND 1 2 3 4 NR	
3.3 Program leaders apply effective practices that promote student learning and institutional effectiveness.	ND 1 2 3 4 NR	
3.4 Clearly defined leader accountability expectations are in place.	ND 1 2 3 4 NR	
3.5 Leader performance is fairly assessed on a regular basis.	ND 1 2 3 4 NR	
3.6 The leader exercises authority over program resources and uses them effectively.	ND 1 2 3 4 NR	
3.7 The program leader . . .		
3.7a articulates an organizational vision and goals that include promotion of student learning and development based on the needs of the population served.	ND 1 2 3 4 NR	
3.7b prescribes and practices appropriate ethical behavior.	ND 1 2 3 4 NR	
3.7c recruits, selects, supervises, instructs, and coordinates staff members.	ND 1 2 3 4 NR	
3.7d manages fiscal, physical, and human resources effectively.	ND 1 2 3 4 NR	
3.7e applies effective practices to educational and administrative processes.	ND 1 2 3 4 NR	
3.8 Communicates effectively and initiates collaborations with individuals and agencies to enhance program functions.	ND 1 2 3 4 NR	
3.9 The leader deals effectively with individuals and environmental conditions that inhibit goal achievement.	ND 1 2 3 4 NR	
3.10 The leader encourages campus environments that promote multiple opportunities for student learning and development.	ND 1 2 3 4 NR	
3.11 The leader strives to improve the program in response to evolving student needs an institutional priorities.	ND 1 2 3 4 NR	

**Part 3: Leadership Overview Questions**

3.1 In what ways are program leaders qualified for their roles?

3.2 In what ways are program leaders positioned and empowered to accomplish the program mission?

3.3 How are program leaders accountable for their performance?

3.4 What leadership practices best describe program leaders?

#### Part 4: ORGANIZATION and MANAGEMENT

**Guided by an overarching intent to ensure student learning and development, TRIO and Other Educational Opportunity (TRIO and OEO) Programs must be structured purposefully and managed effectively to achieve stated goals. Evidence of appropriate structure must include current and accessible policies and procedures, written performance expectations for all employees, functional workflow graphics or organizational charts, and clearly stated service delivery expectations.**

**Evidence of effective management must include use of comprehensive and accurate information for decisions, clear sources and channels of authority, effective communication practices, decision-making and conflict resolution procedures, responsiveness to changing conditions, accountability and evaluation systems, and recognition and reward processes. TRIO and OEO programs must provide channels within the organization for regular review of administrative policies and procedures.**

**TRIO and OEO programs must be placed in the institution's organizational structure to promote cooperative interaction with appropriate campus or community entities and to develop the support of senior administrators.**

TRIO and OEO programs should be positioned to assure appropriate recognition and visibility.

<b>ND</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>NR</b>
Not Done	Not Met	Minimally Met	Well Met	Fully Met	Not Rated

<b>PART 4. ORGANIZATION AND ADMINISTRATION (Criterion Measures)</b>	<b>Rating Scale</b>	<b>NOTES:</b> List Criterion Number
4.1 The program is structured purposefully and managed effectively.	ND 1 2 3 4 NR	
4.2 Written policies, procedures, performance expectations, workflow graphics, and clearly stated delivery expectations are in place.	ND 1 2 3 4 NR	
4.3 Effective management practice exists that includes access to and use of relevant data, clear channels of authority, and viable communications, accountability, and evaluation systems.	ND 1 2 3 4 NR	
4.4 Channels are in place for regular review of administrative policies and procedures.	ND 1 2 3 4 NR	
4.5 The program is placed within the organization so that it can promote cooperation and develop support of senior administrators.	ND 1 2 3 4 NR	

#### Part 4: Organization and Management Overview Questions

4.1 What are the institutional organizational structures that define, enable, or restrain the program?

4.2 What protocols or processes are in place to insure effective management of the program?

#### Part 5: HUMAN RESOURCES

**TRIO and Other Educational Opportunity (TRIO and OEO) Programs must be staffed adequately by individuals qualified to accomplish its mission and goals. Within established guidelines of the institution, programs and services must establish procedures for staff selection, training, and evaluation; set expectations for supervision, and provide appropriate professional development opportunities. TRIO and OEO**

**programs must strive to improve the professional competence and skills of all personnel it employs.**

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

**Degree or credential-seeking interns 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.**

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

**TRIO and OEO programs must have technical and support staff members adequate to accomplish its mission. Staff members must be technologically proficient and qualified to perform their job functions, be knowledgeable of ethical and legal uses of technology, and have access to training. The level of staffing and workloads must be adequate and appropriate for program and service demands.**

**Salary levels and fringe benefits for all TRIO and OEO program staff members must be commensurate with those for comparable positions within the institution, in similar institutions, and in the relevant geographic area.**

**TRIO and OEO programs must institute hiring and promotion practices that are fair, inclusive, and non-discriminatory. TRIO and OEO programs must employ a diverse staff to provide readily identifiable role models for students and to enrich the campus community.**

**TRIO and OEO programs must create and maintain position descriptions for all staff members and provide regular performance planning and appraisals.**

**TRIO and OEO programs must have a system for regular staff evaluation and must provide access to continuing education and professional development opportunities, including in-service training programs and participation in professional conferences and workshops.**

**Hiring and promotion practices must ensure diverse staffing profiles.**

**TRIO and OEO programs professionals must possess a combination of knowledge and experience in working with individuals who are traditionally under-represented in post-secondary education.**

**Professional staff members should possess:**

- effective oral and written communication skills
- an understanding of the culture, heritage, and learning styles of the persons served by the program
- leadership, management, organizational, and human relations skills

Student employees and volunteers from groups traditionally under-represented in higher education should be used and assigned responsibilities that are within the scope of their competencies.

The size, scope, and role of the program staff depend on the mission of TRIO and OEO programs and the populations served. Staffing should be based on the needs of the students or participants and the resources available. When possible, the staff should reflect the characteristics of the population being served.

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

TRIO and OEO programs staff should contribute to the knowledge and practice of the profession through research and publications.

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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<b>PART 5. HUMAN RESOURCES (Criterion Measures)</b>	<b>Rating Scale</b>	<b>NOTES</b> List Criterion Number
5.1 The program is staffed adequately with personnel qualified to accomplish its mission.	ND 1 2 3 4 NR	
5.2 Procedures are in place for staff selection, training, evaluation; supervision, and professional development opportunities.	ND 1 2 3 4 NR	
5.3 The program strives to improve the professional competence and skills of all staff members.	ND 1 2 3 4 NR	
5.4 Professional staff members hold either a relevant graduate degree or possess an appropriate combination of formal education and related work experience.	ND 1 2 3 4 NR	
5.5 Degree or credential-seeking interns are qualified by enrollment in an appropriate field of study and by relevant experience and are trained and supervised by professional staff members with appropriate credentials and work experience.	ND 1 2 3 4 NR	
5.6 Student employees and volunteers are carefully selected, trained, supervised, and evaluated and have access to a qualified supervisor for guidance when exposed to situation beyond their training.	ND 1 2 3 4 NR	
5.7 Student employees and volunteers are provided precise job descriptions, pre-service training, and continuing staff development.	ND 1 2 3 4 NR	
5.8 Technologically trained and proficient staff members who are knowledgeable of ethical and legal uses of technology are in place to carry out essential program functions.	ND 1 2 3 4 NR	
5.9 Staffing and workload levels are adequate and appropriate to meet the demands placed on the program by students and other constituents.	ND 1 2 3 4 NR	

5.10 Staff member compensation is commensurate with those in comparable positions in comparable institutions and situations in the relevant geographical region.	ND 1 2 3 4 NR	
5.11 Hiring and promotion practices are fair, inclusive, and non-discriminatory.	ND 1 2 3 4 NR	
5.12 A diverse program staff is in place that provides readily identifiable role models for students.	ND 1 2 3 4 NR	
5.13 Position descriptions for all staff members are in place and used for performance appraisal and planning purposes.	ND 1 2 3 4 NR	
5.14 The program has a system for regular staff evaluation.	ND 1 2 3 4 NR	
5.15 The program provides staff members with continuing education and professional development opportunities including in-service programs and professional conferences and workshops.	ND 1 2 3 4 NR	
5.16 Staff have knowledge and experience in working with traditionally underrepresented college student populations.	ND 1 2 3 4 NR	

**Part 5: Human Resources Overview Questions**

5.1 What is the strategic plan for staffing the program?

5.2 In what ways are staff members' qualifications insured and their performance judged?

5.3 In what ways does the program train, supervise, and evaluate staff members?

**Part 6: FINANCIAL RESOURCES**

**TRIO and Other Educational Opportunity (TRIO and OEO) Programs must have adequate funding to accomplish its mission and goals. Funding priorities must be determined within the context of the stated mission, goals, objectives and comprehensive analysis of the needs and capabilities of students and the availability of internal or external resources.**

**TRIO and OEO programs must demonstrate fiscal responsibility and cost effectiveness consistent with institutional protocols.**

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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<b>PART 6. FINANCIAL RESOURCES (Criterion Measures)</b>	<b>Rating Scale</b>	<b>NOTES</b> List Criterion Number
6.1 The program has adequate funding to accomplish its mission and goals.	ND 1 2 3 4 NR	
6.2 Funding priorities are determined within the context of program mission, student needs, and available fiscal resources.	ND 1 2 3 4 NR	

6.3 The program demonstrates fiscal responsibility and cost effectiveness consistent with institutional protocols.	ND 1 2 3 4 NR	
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**Part 6: Financial Resources Overview Questions**

6.1 What is the funding strategy for the program?

6.2 What evidence exists to confirm fiscal responsibility and cost-effectiveness?

**Part 7: FACILITIES, TECHNOLOGY, and EQUIPMENT**

**TRIO and Other Educational Opportunity (TRIO and OEO) Programs must have adequate, suitably located facilities, adequate technology, and equipment to support its mission and goals efficiently and effectively. Facilities, technology, and equipment must be evaluated regularly and be in compliance with relevant federal, state, provincial, and local requirements to provide for access, health, safety, and security.**

**As applicable, the facilities must include, or the staff must have access to, private offices or spaces for counseling, advising, tutoring, interviewing, or meetings of a confidential nature. Facilities must be accessible to persons with disabilities.**

TRIO and OEO programs facilities should be physically located to promote visibility of the programs and to ensure coordination with other campus programs and services.

TRIO and OEO programs should have equal access to the institution's technological resources.

TRIO and OEO programs should advocate for and facilitate access to technology for their students and families. Technology should be employed to promote TRIO and OEO programs, to provide academic and other student services, and to communicate with students including those at outreach locations. Programs should intentionally model for their students the use of technology.

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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<b>PART 7. FACILITIES, TECHNOLOGY, and EQUIPMENT</b> ( <i>Criterion Measures</i> )	<b>Rating Scale</b>	<b>NOTES</b> List Criterion Number
7.1 The program has adequate, suitably located facilities, technology, and equipment to support its mission.	ND 1 2 3 4 NR	
7.2 Program facilities, technology, and equipment is evaluated regularly.	ND 1 2 3 4 NR	
7.3 Facilities, technology, and equipment is in compliance with relevant legal and institutional requirements that ensure access, health, safety, and security of students and other users.	ND 1 2 3 4 NR	
7.4 Staff have access to private and accessible offices.	ND 1 2 3 4 NR	

**Part 7: Facilities, Technology, and Equipment Overview Questions**

7.1 How are facilities, technology, and equipment inventoried and maintained?

7.2 What evidence exists to confirm facilities, technology, and equipment access, health, safety, and security for all who are served by the program?

**Part 8: LEGAL RESPONSIBILITIES**

**TRIO and Other Educational Opportunity (TRIO and OEO) Programs staff members must be knowledgeable about and responsive to laws and regulations that relate to their respective responsibilities. Staff members must inform users of programs and services and officials, as appropriate, of legal obligations and limitations including constitutional, statutory, regulatory, and case law; mandatory laws and orders emanating from federal, state/provincial and local governments; and the institution’s policies.**

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

**The institution must provide access to legal advice for TRIO and OEO programs staff members as needed to carry out assigned responsibilities.**

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

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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<b>PART 8. LEGAL RESPONSIBILITIES</b> <i>(Criterion Measures)</i>	<b>Rating Scale</b>	<b>NOTES</b> List Criterion Number
8.1 Program <i>staff</i> members are knowledgeable about and response to laws and regulations relevant to their respective responsibilities.	ND 1 2 3 4 NR	
8.2 Staff members inform users and officials of legal obligations and limitations associated with implementing the program.	ND 1 2 3 4 NR	
8.3 Staff members use informed practice to limit the liability exposure of the institution and its personnel.	ND 1 2 3 4 NR	
8.4 Staff members are informed about institutional policies regarding personal liability and related insurance coverage options.	ND 1 2 3 4 NR	
8.5 Legal advice is available to staff members as needed to carry out assigned responsibilities.	ND 1 2 3 4 NR	
8.6 Both staff and students are informed in systematic fashion about extraordinary or changing legal obligations and potential liabilities.	ND 1 2 3 4 NR	

**Part 8: Legal Responsibilities Overview Questions**

8.1 What are the crucial legal issues faced by the program?

8.2 How are staff members instructed, advised, or assisted with legal concerns?

## Part 9: EQUITY and ACCESS

**TRIO and Other Educational Opportunity (TRIO and OEO) Programs staff members must ensure that services and programs are provided on a fair and equitable basis. Facilities, programs, and services must be accessible. Hours of operation and delivery of and access to programs and services must be responsive to the needs of all students and other constituents. TRIO and OEO programs must adhere to the spirit and intent of equal opportunity laws.**

**Policies and practices of TRIO and OEO programs must not discriminate on the basis of age, color, disability, sex, national origin, race, religious creed, sexual identity, and/or veteran status. Exceptions are appropriate only where provided by relevant law and institutional policy.**

**Consistent with their mission and goals, TRIO and OEO programs must take affirmative action to remedy significant imbalances in student participation and staffing patterns.**

**As the demographic profiles of campuses change and new instructional delivery methods are introduced, institutions must recognize the needs of students who participate in distance learning for access to programs and services offered on campus. Institutions must provide appropriate services in ways that are accessible to distance learners and assist them in identifying and gaining access to other appropriate services in their geographic region.**

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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<b>PART 9. EQUITY AND ACCESS</b> <i>(Criterion Measures)</i>	<b>Rating Scale</b>	<b>NOTES</b> List Criterion Number
9.1 All programs and services are provided on a fair and equitable basis.	ND 1 2 3 4 NR	
9.2 All program facilities and services are accessible to prospective user	ND 1 2 3 4 NR	
9.3 Program operations and delivery are responsive to the needs of all students and other users.	ND 1 2 3 4 NR	
9.4 All services adhere to the spirit and intent of equal opportunity laws.	ND 1 2 3 4 NR	
9.5 Program policies and practices do not discriminate against any potential users.	ND 1 2 3 4 NR	
9.6 The program acts to remedy imbalances in student participation and staffing	ND 1 2 3 4 NR	
9.7 Services are conveniently available and accessible to distance learner students or arrangements have been made for students to have access to related services in their geographical area.	ND 1 2 3 4 NR	

### Part 9: Equity and Access Overview Questions

9.1 How does the program insure non-discriminatory, fair, and equitable treatment to all constituents?

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9.2 What policies and/or practices are in place to address imbalances in participation among selected categories of students and imbalances in staffing patterns among selected categories of staff members?

**Part 10: CAMPUS and EXTERNAL RELATIONS**

**TRIO and Other Educational Opportunity (TRIO and OEO) Programs must establish, maintain, and promote collaborative relations with relevant individuals, campus offices, external agencies, project area schools, community organizations, and students' families.**

**TRIO and OEO programs must include a public relations component to regularly inform the institutions, communities, agencies, and schools about their mission and services.**

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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<b>PART 10. CAMPUS and EXTERNAL RELATIONS</b> <i>(Criterion Measures)</i>	<b>Rating Scale</b>	<b>NOTES</b> List Criterion Number
10.1 The program has established, maintained, and promoted effective relations with relevant campus and external individuals and agencies.	ND 1 2 3 4 NR	
10.2 The program regularly communicates about their mission and services to the institution, and to communities, agencies and schools.	ND 1 2 3 4 NR	

**Part 10: Campus and External Relations Overview Questions**

10.1 With which relevant individuals, groups, campus offices, and external agencies must the program maintain effectively relations?

10.2 What evidence confirms effective relationships with program constituents?

**Part 11: DIVERSITY**

**Within the context of each institution's unique mission, diversity enriches the community and enhances the collegiate experience for all; therefore, TRIO and Other Educational Opportunity (TRIO and OEO) Programs must nurture environments where commonalities and differences among people are recognized and honored.**

**TRIO and OEO programs must promote educational experiences that are characterized by open and continuous communication that deepens understanding of one's own identity, culture, and heritage, and that of others. TRIO and OEO programs must educate and promote respect about commonalities and differences in their historical and cultural contexts.**

**TRIO and OEO programs must address the characteristics and needs of a diverse population when establishing and implementing policies and procedures.**

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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PART 11. DIVERSITY <i>(Criterion Measures)</i>	Rating Scale	NOTES List Criterion Number
11.1 The program nurtures environments wherein commonalities and differences among people are recognized and honored.	ND 1 2 3 4 NR	
11.2 The program promotes experiences characterized by open communication that deepens understanding of identity, culture, and heritage.	ND 1 2 3 4 NR	
11.3 The program promotes respect for commonalities and differences in historical and cultural contexts.	ND 1 2 3 4 NR	
11.4 The program addresses characteristics and needs of diverse populations when establishing and implementing policies and procedures.	ND 1 2 3 4 NR	

**Part 11: Diversity Overview Questions**

11.1 In what ways does the program contribute to the nurturing of diversity?

11.2 How does the program serve the needs of diverse populations?

**Part 12: ETHICS**

**All persons involved in the delivery of TRIO and Other Educational Opportunity (TRIO and OEO) Programs must adhere to the highest principles of ethical behavior. TRIO and OEO programs must develop or adopt and implement appropriate statements of ethical practice. TRIO and OEO programs must publish these statements and ensure their periodic review by relevant constituencies.**

**TRIO and OEO programs staff members must ensure that privacy and confidentiality are maintained with respect to all communications and records to the extent that such records are protected under the law and appropriate statements of ethical practice. Information contained in students' education records must not be disclosed without written consent except as allowed by relevant laws and institutional policies. TRIO and OEO programs staff members must disclose to appropriate authorities information judged to be of an emergency nature, especially when the safety of the individual or others is involved, or when otherwise required by institutional policy or relevant law.**

**All TRIO and OEO programs staff members must be aware of and comply with the provisions contained in the institution's human subjects research policy and in other relevant institutional policies addressing ethical practices and confidentiality of research data concerning individuals.**

**TRIO and OEO programs staff members must recognize and avoid personal conflict of interest or appearance thereof in their transactions with students and others.**

**TRIO and OEO programs staff members must strive to insure the fair, objective, and impartial treatment of all persons with whom they deal. Staff members must not participate in nor condone any form of harassment that demeans persons or creates an intimidating, hostile, or offensive campus environment.**

**When handling institutional funds, all TRIO and OEO programs staff members must ensure that such funds are managed in accordance with established and responsible accounting procedures and the fiscal policies or processes of the institution.**

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

**TRIO and OEO programs staff members must use suitable means to confront and otherwise hold accountable other staff members who exhibit unethical behavior.**

**TRIO and OEO programs staff members must be knowledgeable about and practice ethical behavior in the use of technology.**

<b>ND</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>NR</b>
Not Done	Not Met	Minimally Met	Well Met	Fully Met	Not Rated

<b>PART 12. ETHICS</b> ( <i>Criterion Measures</i> )		<b>Rating Scale</b>	<b>NOTES</b> List Criterion Number
12.1	All program staff members adhere to the principles of ethical behavior adopted, published, and disseminated by the program to guide ethical practice.	ND 1 2 3 4 NR	
12.2	The program has a written statement of ethical practice that is reviewed periodically.	ND 1 2 3 4 NR	
12.3	Privacy and confidentiality are maintained with respect to all communications and records to the extent protected under the law and program statements of ethical practice.	ND 1 2 3 4 NR	
12.4	Information contained in students' education records is never disclosed without written consent except as allowed by law and institutional policy.	ND 1 2 3 4 NR	
12.5	Information judged to be of an emergency nature when an individual's safety or that of others is involved is disclose to appropriate authorities.	ND 1 2 3 4 NR	
12.6	All staff members comply with the institution's human subjects research and other policies addressing confidentiality of research data concerning individuals.	ND 1 2 3 4 NR	
12.6	Staff members avoid personal conflicts of interest or appearance thereof in transactions with students and others.	ND 1 2 3 4 NR	
12.7	Staff members strive to ensure the fair, objective, and impartial treatment of all persons with whom they deal and do not condone or participate in behavior that demeans persons or creates an intimidating, hostile, or offensive campus environment.	ND 1 2 3 4 NR	
12.8	Staff members ensure that funds are managed in accordance with established institutional fiscal accounting procedures, policies, and processes.	ND 1 2 3 4 NR	
12.9	All staff members perform assigned duties within the limits of training, expertise, and competence and when these limits are exceeded referrals are made to persons possessing appropriate qualifications.	ND 1 2 3 4 NR	

12.10 Staff members confront and otherwise hold accountable others who exhibit unethical behavior.	ND 1 2 3 4 NR	
12.11 Staff members practice ethical behavior in the use of technology.	ND 1 2 3 4 NR	

**Part 12: Ethics Overview Questions**

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

12.2 What is the program’s strategy for managing student and staff member confidentiality issues?

12.3 How are ethical dilemmas and conflicts of interest managed?

12.4 In what ways are staff members informed and supervised regarding ethical conduct?

**Part 13: ASSESSMENT and EVALUATION**

**TRIO and Other Educational Opportunity (TRIO and OEO) Programs must conduct regular assessment and evaluations. TRIO and OEO programs must employ effective qualitative and quantitative methodologies as appropriate, to determine whether and to what degree the stated mission, goals, and student learning and development outcomes are being met. The process must employ sufficient and sound assessment measures to ensure comprehensiveness. Data collected must include responses from students and other affected constituencies.**

**TRIO and OEO programs must evaluate periodically how well they complement and enhance the institution’s stated mission and educational effectiveness.**

**Results of these evaluations must be used in revising and improving programs and services and in recognizing staff performance.**

Annual program performance reports must be conducted in accordance with federal project guidelines.

Annual evaluation reports should be made available, when appropriate, to the program's various stakeholders, such as relevant campus offices, external agencies, area schools, and community organizations.

<b>ND</b> Not Done	<b>1</b> Not Met	<b>2</b> Minimally Met	<b>3</b> Well Met	<b>4</b> Fully Met	<b>NR</b> Not Rated
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<b>PART 13. ASSESSMENT AND EVALUATION</b> ( <i>Criterion Measures</i> )	<b>Rating Scale</b>	<b>NOTES</b> List Criterion Number
13.1 The program conducts regular assessment and evaluations and employs both qualitative and quantitative methodologies to determine how effectively its stated mission and student learning and development outcomes are being met.	ND 1 2 3 4 NR	
13.2 The assessment process employs measures that ensure comprehensiveness and data collected include responses from students and other affected constituencies.	ND 1 2 3 4 NR	

13.3 The program evaluates periodically how well it complements and enhances the institution's stated mission and educational effectiveness.	ND 1 2 3 4 NR	
13.4 Results of these evaluations are used to revise and improve the program and to recognize staff performance.	ND 1 2 3 4 NR	

**Part 13: Assessment and Evaluation Overview Questions**

13.1 What is the grand assessment strategy for the program?

13.2 How are tangible, measurable outcomes determined to ensure program mission and goal achievement?

13.3 How are student learning and development outcomes determined to ensure their level of achievement?

# CAS

## Self-Assessment Guide

### TRIO and Other Educational Opportunity Programs

#### Work Form A

#### Assessment, Ratings, and Significant Items

**INSTRUCTIONS:**

This work form should be completed following individual ratings of the participants. For each of the 13 Parts, identify (**circle**) the criterion measure item number(s) in the column labeled *Step One* for which there is a substantial rating discrepancy (two or more ratings apart). Items not circled should reflect consensus among judges that practice in that area is satisfactory. Items where judgment variance occurs need to be discussed thoroughly by team members. Follow this action by determining which practices (criterion measures) can be designated as “excellent” or “unsatisfactory” and record them in the *Step Two* columns. Any criterion measure identified as “Unsatisfactory” by one or more reviewer should be included as a circled item in Step 1. In *Step Three*, list the items requiring follow-up action including any criterion measure rated as being unsatisfactory by any reviewer.

Step One						Step Two	
Part	Items					Excellent	Unsatisfactory
<b>1. Mission</b>	1.1 1.6	1.2 1.7	1.3	1.4	1.5		
<b>2. Program</b>	2.1 2.4.3 2.4.8 2.4.13 2.6	2.2 2.4.4 2.4.9 2.4.14 2.7	2.3 2.4.5 2.4.10 2.4.15	2.4.1 2.4.6 2.4.11 2.4.16	2.4.2 2.4.7 2.4.12 2.5		
<b>3. Leadership</b>	3.1 3.6 3.7e	3.2 3.7a 3.8	3.3 3.7b 3.9	3.4 3.7c 3.10	3.5 3.7d 3.11		
<b>4. Organization &amp; Management</b>	4.1	4.2	4.3	4.4	4.5		
<b>5. Human Resources</b>	5.1 5.6 5.11 5.16	5.2 5.7 5.12	5.3 5.8 5.13	5.4 5.9 5.14	5.5 5.10 5.15		
<b>6. Financial Resources</b>	6.1	6.2	6.3				
<b>7. Facilities, Technology, &amp; Equipment</b>	7.1	7.2	7.3	7.4			
<b>8. Legal Responsibilities</b>	8.1 8.6	8.2	8.3	8.4	8.5		
<b>9. Equity and Access</b>	9.1 9.6	9.2 9.7	9.3	9.4	9.5		

<b>10. Campus and External Relations</b>	10.1	10.2					
<b>11. Diversity</b>	11.1	11.2	11.3	11.4			
<b>12. Ethics</b>	12.1 12.6 12.11	12.2 12.7	12.3 12.8	12.4 12.9	12.5 12.10		
<b>13. Assessment &amp; Evaluation</b>	13.1	13.2	13.3	13.4			

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

1.
2.
3.
4.
5.
6.
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9.
10.
11.
12.
13.



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

**Work Form C**  
**Summary Action Plan**

**Step Five:**

This form concludes the self-assessment process and calls for action to be taken as a consequence of study results. Write a brief action plan statement in the spaces below for each Part in which action is required.

**Part 1: Mission**

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**Part 2: Program**

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**Part 3: Leadership**

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**Part 4: Organization and Management**

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**Part 5: Human Resources**

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**Part 6: Financial Resources**

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**Part 7: Facilities, Technology, and Equipment**

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**Part 8. Legal Responsibilities**

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**Part 9: Equity and Access**

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**Part 10: Campus and External Relationships**

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**Part 11: Diversity**

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**Part 12: Ethics**

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**Part 13: Assessment and Evaluation**

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