CAS Self-Assessment Guide

TESTING PROGRAMS AND SERVICES

2018

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TESTING PROGRAMS AND SERVICES
CAS Contextual Statement

In the ever-changing and adapting climate of higher-education, testing centers have emerged as student measurement delivery tools (Monaco & Martin, 2007). Testing Programs and Services (TPS) plays an important role in helping students demonstrate learning outcomes and in supporting demands for accountability and the obligation of universities to demonstrate learning (Altbach, 2016).

In addition to providing educational tests, testing centers often offer high-stakes credentialing tests, such as certification or licensure exams related to information technology, healthcare, and finance careers, which serve to open career opportunities to individuals. Such tests serve a broad range of purposes, including ensuring individuals licensed to practice in certain fields possess the requisite knowledge and skills. With the rise of technology in the testing industry, TPS have changed dramatically to accommodate the availability of electronic exam administrations. For example, while traditional paper-and-pencil tests are still administered, especially in classroom environments, the majority of standardized tests are now technology-based.

Programs and services provided through testing centers include diverse functions such as placement testing, classroom make-up exams, distance learning exams from other institutions, educational admissions testing, accommodated classroom exams, certification examinations, licensure examinations, and special initiative testing. The size, funding, and structure of an institution's TPS will influence the capability to deliver all, or some combination of, the variety of services available. Two modalities most frequently used by testing centers are computer-based testing (CBT), in which exams are stored on local servers and computers, and internet-based testing (IBT), which delivers tests over the internet. These changes have resulted in a need for TPS personnel not only to understand and adhere to standardized practices but also to engage in significant professional development and education to understand and coordinate the software and hardware compatibility needs of managing the modern-day testing center. In addition, test security and the standardization of recommended best practices have catapulted testing professionals into collaborative relationships with many higher education and credentialing stakeholders.

As noted above, many testing centers now offer exams that significantly impact an individual's academic or career pursuits, such as final exams, graduate or professional school admissions tests, professional certification and licensure tests, and job selection tests. Preparing for and taking these exams involve considerable time and expense on the part of the test taker, and the consequences associated with failing can be significant. As both the difficulty of the test and the severity of the consequences associated with poor performance increase, so too does the need to protect the security and integrity of the exam (Lane & Tierny, 2017; Wollack & Fremer, 2013). As the use and reliance on test scores have increased over the years, TPS must ensure that standards surrounding exam security and administration are upheld.

Given the importance of the outcomes generated by the activities occurring at testing centers, it is not surprising that test takers may attempt to engage in exam misconduct to obtain higher scores. TPS personnel play a primary role in the exam security chain, as there are many ways in which dishonest or inadequately trained personnel can compromise results (Cizek, 1999). These actions threaten the entire testing industry and profession, thus punctuating the increased need for funding to hire trained TPS personnel of high moral character who will protect the integrity of the exam and maintain the reputation of their institutions.

The Evolution of NCTA and Testing Standards
Given the many priorities of higher education (as defined by its many stakeholders), the high stakes nature of test results, and the issues associated with exam misconduct, testing professionals recognized an increased need for

discussions between colleagues on topics of customer service practices, compliance, test security, staffing, and standard operating procedures. In 2000, several regional testing associations merged to form the National College Testing Association (NCTA). Through collaboration with testing organizations across the country, the NCTA is dedicated to the promotion of professionalism and quality in the administration of TPS, particularly as they relate to the intersection of testing and higher education, including issues pertaining to test administration, accessibility, development, security, and scoring.

In 2008, NCTA advanced a major effort to standardize the physical space and administration of testing through the development of its Test Center Certification program, which provides a process to evaluate and recognize the functions performed by college and university testing centers. During this voluntary process, TPS engage in a multi-level certification evaluation in which their processes are compared with NCTA-developed industry standards. The purpose of the evaluation is to identify areas or functions within a testing center that are exemplary, those which are adequate, and those that need attention or additional development. Testing centers that meet all established criteria earn NCTA Test Center Certification. This process helps testing centers improve and enhance the testing experience of students and other test takers, as well as contributes to the professional development of testing personnel. Additionally, the process provides clear information to higher education administrators regarding space, funding, and staff requirements essential for effectively running a testing facility, and further demonstrates the work and contribution of testing professionals.

In addition to NCTA Test Center Certification, NCTA further advanced TPS by collaborating with the Association of Test Publishers (ATP) in the development and publication of Proctoring Best Practices (2015). This collaborative document provides a comprehensive overview of best practices in proctoring, test security, and test validity while ensuring a quality experience for the test taker. It is through partnerships such as these that testing professionals continue to gain knowledge, expand awareness, and conscientiously improve upon their professional responsibilities.

An area of complexity for many testing centers is the management of resources related to accommodated test delivery. While universal design should always be considered within the testing environment, delivery of accommodated tests can vary given differing institutional and/or departmental structures. In institutions where testing centers deliver accommodations, TPS and Disability Resources and Services often work hand-in-hand to improve testing and the academic experience of students with disabilities. Consequently, it becomes critical that personnel are trained in ADA, FERPA, and other legal issues and regulations, ensuring that the institution is in compliance and the student is receiving necessary support.

The Future

Testing centers will continue to play an important role in both the institutions in which they are located and in the broader community. In addition to supporting academic departments with student testing, the scope of testing trends continues to evolve. Community colleges and other institutions are expanding contract education programs based on specific business and industry needs. Both public and private colleges and universities have adopted commercial technology, documented by Philip Altbach's (2016) *Global Perspectives on Higher Education*, which identifies new types of providers, forms of delivery, and collaborative partnerships. Private and public institutions, commercial IT and media companies, corporate universities, professional associations, and international conglomerates often require a physical presence that may include relying on testing centers to deliver a broad scope of testing to their respective clients. These services can be offered through institutional testing centers, which in turn assist in building partnerships with companies and relationships with the surrounding communities that may provide additional funding. Administration of credentialing exams has proven to be a lucrative tool for many testing centers, allowing programs to funnel income generated back into institutional supports, programs, and special initiatives.

As the testing industry continues to move forward, its historical perspectives provide a solid foundation for future careers, delivery, growth, and advancement. Industry tenets cultivate an integrity-based atmosphere placing test security compliance permanently at the forefront of industry platforms. Exploring current trends aids in preventing industry stagnation and ensures that testing remains an attractive and innovative tool among higher education professionals. Through the promotion of professionalism and quality of administration provided by these standards, TPS work to support the academic missions of colleges and universities, as well as the broader community, thus playing an important role in supporting test taker success and opening pathways to academic and career opportunities.

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INTRODUCTION AND INSTRUCTIONS
CAS Self-Assessment Guide

The *Self-Assessment Guides* (SAG) translate functional area CAS standards and guidelines into tools for conducting self-study. Educators can use this SAG to gain informed perspectives on the strengths and deficiencies of their programs and services as well as to plan for improvements. Grounded in the reflective, self-regulation approach to quality assurance in higher education endorsed by CAS, this SAG provides institutional, divisional, departmental, and unit leaders with a tool to assess programs and services using currently accepted standards of practice.

The *Introduction* outlines the self-assessment process, describes how to complete a programmatic self-study, and is organized into three sections:
  I.   Self-Assessment Guide Organization and Process
  II. Rating Examples
  III. Formulating an Action Plan, Preparing a Report, and Closing the Loop

The introduction is followed by the *Self-Assessment Worksheet*, which presents the CAS standards for the functional area and incorporates a series of criterion measures for rating purposes.

I. Self-Assessment Guide and Process

CAS developed and has incorporated a number of common criteria that have relevance for each and every functional area, no matter what its primary focus. These common criteria are referred to as "General Standards," which form the core of all functional area standards. CAS standards and guidelines are organized into 12 components, and the SAG workbook corresponds with the same sections:

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

For each set of standards and guidelines, CAS provides a Self-Assessment Guide (SAG) that includes a recommended comprehensive self-study process for program evaluation. Seven basic steps to using a SAG are suggested for implementing a functional area self-study. The following self-study process is recommended.

1. Plan the Process Map out steps for process, develop timeline, build buy-in with all stakeholders, and explicitly identify desired outcomes of the self-study	**5. Develop an Action Plan** Identify discrepancies, corrective action, and recommended steps (e.g., identify strengths, weaknesses, recommendations, benchmarks for achievement, resources, timeframe, and responsible individuals)
2. Assemble and Educate the Self-Assessment Team Determine who should be on the team and how to educate the team about the self-study process	**6. Prepare a Report** Identify audience for report(s); describe the self-study process, evidence gathering, rating process, and evaluations; summarize strengths and weaknesses; describe the action plan; and draft an executive summary
3. Identify, Collect, and Review Evidence	7. Close the Loop

Define what constitutes evidence; then gather, collect, manage, and review evidence	Put action plans into practice; work to navigate politics and secure resources; identify barriers to overcome; and build buy-in to the program review results
4. Conduct and Interpret Ratings Using Evaluative Evidence Clarify team's rating criteria; employ a process for rating [small group, individual, staff]; negotiate rating differences; and manage group ratings	

The first four steps in conducting self-assessment will lead you through planning your process, preparing your team, gathering evidence, and assigning ratings to the criterion measures.

A. Plan the self-study process
B. Assemble and educate self-study team(s)
C. Identify, collect, and review documentary evidence
D. Conduct ratings using evaluative evidence

Step A: Plan the Self-Study Process
Prior to beginning a program review, division and functional area leaders need to determine the area (or areas) to be evaluated and the reasons for the project. This may be dictated by institutional program review cycles or planning for accreditation processes, or it may result from internal divisional goals and needs. Explicitly identifying desired outcomes and key audiences for a self-study will help leaders facilitate a process that makes the most sense for the project.

Critical first phases of a program review include mapping out the planned steps for a program review and developing timelines. Leaders will also want to build buy-in with stakeholders of the functional area. In the initial planning stage of the self-study process it is desirable to involve the full functional area staff, including support staff members, knowledgeable students, and faculty members when feasible. This approach provides opportunity for shared ownership in the evaluation.

Step B: Assemble and Educate the Self-Assessment Review Team
The second step is to identify an individual to coordinate the self-assessment process. CAS recommends that the coordinator be someone other than the leader of the unit under review; this facilitates honest critique by the review team and enhances credibility of the final report. Once a leader is designated, members of the institutional community [e.g., professional staff members, faculty members, 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.

In preparing the team for the self-study, it is imperative to train the team on the CAS standards, as well as self-assessment concepts and principles. CAS standards and guidelines are formulated by representatives of 43 higher education professional associations concerned with student learning and development. The CAS standards represent essential practices; the 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— presented as an appendix to the self-assessment instrument—are formatted so that standards (i.e., essentials of quality practice) are printed in bold type. Guidelines, which complement the standards, are printed in light-face type. Standards use the auxiliary verbs "must" and "shall" while guidelines use "should" and "may."

In this self-assessment instrument, the CAS standards have been translated into criterion measures and grouped into subcategories for rating purposes. The criterion measures are not designed to focus on discrete ideas; rather, the measures are designed to capture the major ideas and elements reflected in the standards. For each of the 12 component parts, team members will rate clusters of criterion measures. If the assessment team decides to incorporate one or more of the guidelines into the review process, each guideline can be similarly translated into a measurable statement to facilitate rating.

As a group, the review team should examine the standards carefully and read through the entire self-assessment guide before beginning to assign ratings. 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.

Step C: Identify, Collect, 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 to collect and file relevant data routinely, which can then be used to document program effectiveness over time. Available documentation should be assembled by the unit under review and provided to the review team at the outset of the study. The team may request additional information as needed as the review is conducted.

Documentary evidence often used to support evaluative judgments includes:
- *Student Recruitment and Marketing Materials*: brochures and other sources of information about the program, participation policies and procedures, and reports about program results and participant evaluations

- *Program Documents:* mission statements, catalogs, brochures and other related materials, staff and student manuals, policy and procedure statements, evaluation and periodic reports, contracts, and staff memos

- *Institutional Administrative Documents*: statements about program purpose and philosophy relative to other educational programs, organizational charts, financial resource statements, student and staff profiles, and assessment reports

- *Research, Assessment, and Evaluation Data*: needs assessments, follow-up studies, program evaluations, outcome measures and methodologies, and previous self-study reports

- *Staff Activity Reports*: annual reports; staff member vitae; service to departments, colleges, university, and other agencies; evidence of effectiveness; scholarship activities, and contributions to the profession

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

In the SAG, each section provides recommended evidence and documentation that should be collected and compiled prior to conducting ratings. The evidence collected is likely applicable across numerous sections.

Raters can best make judgments about the program expectations articulated in the standards when they have a variety of evidence available. Multiple forms of evidence should be reviewed and reported in the narrative section of the SAG worksheets. Through the rating process, a self-study team may identify a need to obtain additional

information or documentation before proceeding, in order to lend substance to judgments about a given assessment criterion. Evidence and documentation should be appended and referenced in the final self-assessment report.

Step D: Conduct and Interpret Ratings Using Evaluative Evidence
When the program review team has gathered and reviewed necessary evidence, they will be able to assign and interpret ratings to individual criterion measures, following three steps.

1) Rate Criterion Measures
   a) Team members individually rate criterion measures based on their understanding of the evidence.
   b) Team discusses and assigns collective ratings for criterion measures.

2) Provide Narrative Rationale
   a) Document the reasoning and evidence for the rating assigned to each subsection, in the space provided for *Rationale*.
   b) Explain what evidence has been collected and reviewed to support individual and/or team ratings and judgments.
   c) Provide information for follow-up and relevant details about ratings (e.g., if *Partly Meets* is assigned as a rating, what aspects of the program or service do and do not meet which standards statements).

3) Answer Overview Questions (In the Instrument)
   a) Respond, in writing in the space provided, to the *Overview Questions* that immediately follow the rating section of each of the 12 components.
   b) Use answers to the *Overview Questions*, which are designed to stimulate summary thinking about overarching issues, to facilitate interpretation of the ratings and development of the self-study report.

Assessment criterion measures are used to judge how well areas under review meet CAS standards. These criterion measures are designed to be evaluated using a 4-point rating scale. In addition to the numerical rating options, *Does Not Apply* (DNA) and *Insufficient Evidence/Unable to Rate* (IE) 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

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

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, raters may use a DNA rating and, in the self-study report, describe their rationale for excluding the practice in the criterion measure. The IE response can be used when relevant data are unavailable to support a judgment. When either the DNA or the IE ratings are used, an explanatory note should be provided in the report. Items rated with 0 should generate careful group consideration and appropriate follow-up action.

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

Whatever procedures are used to arrive at judgments, deliberate discussions should occur about how to initiate the rating process and select the optimal rating strategy. In such discussions, it is expected that disagreements among team members will occur and that resulting clarifications will inform all participants. It is important that the team achieve consensual resolution of such differences before proceeding with individual ratings.

CAS suggests a two-tiered (individual and group) judgment approach for determining the extent to which the program meets the CAS standard. First, the self-assessment team members (and functional area staff members, if desired) individually should rate the clusters of criterion measures using separate copies of the CAS Self-Assessment Guide. In addition, they will need to document their reasoning and evidence for the rating assigned to each subsection in the space provided for *Rationale*. This individualized rating procedure is then followed by a collective review and analysis of the individual ratings.

The individual ratings should be reviewed, discussed, and translated into a collective rating by the team; then the team is ready to move to the interpretation phase of the self-assessment. Interpretation typically incorporates 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 relevant 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. This step is best done by the unit staff, informed by the results of the review and, when feasible, in consultation with the review team. The Work Forms will guide this process.

II. Rating Examples

Rating Standard Criterion Measures

All CAS standards, printed in bold type, are viewed as being essential to a sound and relevant program or service that contributes to student learning and development. Many of the statements contained in CAS standards incorporate multiple criteria that have been grouped for rating purposes. Consequently, raters may need to judge several standards statements through a single criterion measure. Using the "Ethics" standards as an example, the following illustrates how criterion measures are grouped into subcategories for rating.

Part 5. ETHICS

Suggested Evidence and Documentation:

1. Program code or statement of ethics
2. Ethics statements from relevant functional area professional associations
3. Personnel policies, procedures and/or handbook
4. Student code of conduct
5. Operating policies and procedures related to human subjects research (Institutional Review Board, IRB)
6. Minutes from meetings during which staff reviewed and discussed ethics

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

☐ 5.1 Ethical Standards
- Programs and services review applicable professional ethical standards and adopt or develop and implement appropriate statements of ethical practice.
- Programs and services publish and adhere to statements of ethical practice, ensure their periodic review, and orient new personnel to relevant statements of ethical practice and related institutional policies.

Rationale:

☐ 5.2 Statement of Ethical Standards
- Statements of ethical standards specify that programs and services personnel respect privacy and maintain confidentiality in communications and records as delineated by privacy laws.

Using Guidelines to Make Judgments about the Program

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

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

III. Formulating an Action Plan, Preparing a Report, and Closing the Loop

The final three steps in the self-assessment process help a review team and unit plan for and take action using the information garnered through the review of documentary evidence and rating process.

Step E: Formulating an Action Plan

Typically, the assessment process will identify areas where the program is not in compliance with the standards. Action planning designed to overcome program shortcomings and provide program enhancements must then occur. Following is an outline of recommended steps for establishing a comprehensive plan of action using the CAS self-assessment work forms. Space is provided in the SAG for recording relevant information.

1) Resolve Rating Discrepancies (Work Form A)
    a) Identify criterion statements for which there is a substantial rating discrepancy.
    b) Discuss these items and come to a resolution or final decision. Note any measures where consensus could not be reached.

2) Identify Areas of Program Strength (Work Form B)
    a) Identify criterion measure ratings where *strength* in performance or accomplishment was noted (i.e., program exceeds criterion with a rating of 4).

3) Identify Areas for Improvement (Work Form B)
    a) Identify criterion measures where program weaknesses (i.e., program shortcomings that fail to meet criterion measures, and received a rating of 0 or 1) were noted.

4) Recommend Areas for Unit Action (Work Form C)
    a) Note items that need follow-up action for improvement and indicate what requires action.
    b) This is the last form to be completed by the review team.

5) Prepare the Action Plan (Work Form D)
    a) This step should be completed by the unit being reviewed.
    b) Use the items requiring attention listed in Work Form C to formulate a brief action plan. The focus and intended outcomes of the next steps to be taken should be identified.

6) Write Program Action Plan (Work Form E)
    a) List each specific action identified in the self-study that would enhance and strengthen services.
    b) Determine the actions needed to improve for each practice.
    c) Identify responsible parties to complete the action steps.
    d) Set dates by which specific actions are to be completed.

7) Prepare Report
    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 tentative start-up date for initiating a subsequent self-study.

Step F: Preparing a Report

To complete the process, a summary document should be produced that (a) explains the mission, purpose, and philosophy of the program; (b) reviews the outcome of the assessment; and (c) recommends specific plans for action.

In addition, depending on the report's audience, describe the process, evidence gathering, ratings, and evaluations, and summarize strengths and weaknesses.

Step G: Closing the Loop

Finally, to close the loop on a program's self-study process, functional area staff members must implement the recommended changes to enhance the quality of their program. In this final step, the staff endeavors to put action plans into practice. In some cases, there will be institutional politics to be navigated; continued support from functional area leaders remains essential. Staff members will want to work collectively to secure resources, identify barriers to implementation, and build stakeholder buy-in to the results. CAS recommends that closing the loop on a self-study process be integrated into regular staff meetings, individual supervision, trainings, and annual reports. A key to successfully using program review in post-secondary student services is weaving the entire process, from planning through taking action, into the fabric of the functional area, departmental, and divisional culture.

TESTING PROGRAMS AND SERVICES

CAS Self-Assessment Guide

Part 1: MISSION

Suggested Evidence and Documentation:
1. Current mission statement, brief description of how it was developed, and date of last review
2. Additional goals, values, and statements of purpose
3. Description and copies (if applicable) of where mission statement is disseminated (e.g., included in operating and personnel policies, procedures and/or handbook, hanging in office common space, on website, in strategic plan, and other promotional materials)
4. Institutional/divisional mission statements (e.g., map program mission to broader mission statements)
5. Any additional professional standards aligned with program/service (e.g., standards promoted by functional area organizations)
6. Institutional demographics, description of student population served, and information about community setting

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

1.1 Program Mission and Goals
- Testing Programs and Services (TPS) promotes and provides quality test administration services for enrolled students, potential students, and community members and offers the best opportunity for test takers to demonstrate accurately their knowledge, skills, abilities, and behaviors.
- TPS establishes goals that
  - are consistent with the standards and guidelines within the profession
  - are guided by professional standards and guidelines
  - are relevant to its placement in the institutional structure
  - provide a variety of test, exam, and assessment tools and approaches
  - support the academic integrity standards and requirements of the institution
  - maximize the security and integrity of testing materials, administration, and results

Rationale:

1.2 Mission Implementation and Review
- TPS develops, disseminates, implements, and regularly reviews its mission.

Rationale:

1.3 Mission Statement
- The mission statement is consistent with that of the institution and with professional standards; is appropriate for student populations and community settings; and references learning and development.

Rationale:

Overview Questions:
1. How does the mission embrace student learning and development?
2. In what ways does the TPS mission complement the mission of the institution?
3. To what extent is the mission used to guide practice?

Part 2: PROGRAM

Suggested Evidence and Documentation:
1. Program student learning and development outcomes, and brief description of how they were developed
2. List of current collaborations across the institution that facilitate student learning and development
3. Map of program activities and ways they connect to student learning and development outcomes
4. Map or report of outcome assessment activities, including results
5. Strategic plans program design and enhancement
6. Specifications or requirements (if applicable)

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

2.1 Program Contribution to Student Learning and Development
- Testing Programs and Services (TPS) contributes to students' formal education (the curriculum and co-curriculum), learning, and development.
- TPS contributes to students' progression toward and timely completion of educational goals and preparation for their careers, citizenship, and lives.
- TPS identifies relevant and desirable student learning and development outcomes that align with the CAS Learning and Development Outcomes and related domains and dimensions.

Rationale:

2.2 Assessment of Learning and Development
- TPS engages in outcomes assessment, documents evidence of its impact, and articulates the role it plays in student learning and success.
- TPS uses evidence to create strategies for improvement of programs.

Rationale:

2.3 Program Design
- TPS bases its work on intentional student learning and development outcomes.
- TPS reflects developmental and demographic profiles of the student population and responds to needs of individuals, populations with distinct needs, and relevant constituencies.
- TPS is delivered using multiple formats, strategies, and contexts and is designed to provide universal access.
- TPS delivers services using formats appropriate to the range of diverse needs of test takers and users of test results.
- When required to report test, exam, or assessment tool results TPS does so accurately, timely, and with integrity.

Rationale:

☐ 2.4 Collaboration
- **TPS** collaborates with others across the institution in ways that benefit students.
- TPS promotes campus-wide understanding of how their services support the learning needs of all student populations and stakeholders.
- TPS refers students to appropriate campus and community resources for assistance outside the purview or beyond the expertise of the program.

Rationale:

Overview Questions:
1. What are the most significant student learning and development outcomes of **TPS**?
2. What difference does **TPS** make for students who engage with it?
3. What is the demonstrated impact of **TPS** on student learning, development, and success?
4. How has collaboration in program development and delivery affected its impact or outcomes?
5. What changes or adjustments have been made as a result of assessment activities?

Part 3: ORGANIZATION AND LEADERSHIP

Suggested Evidence and Documentation:
1. Program goals and outcomes
2. Operating policies, procedures and/or handbook
3. Personnel and student handbook(s), policies and procedures, and organizational chart(s)
4. Personnel position descriptions, expectations, and performance review templates
5. Periodic reports, contracts, and personnel memos
6. Annual reports by program leaders
7. Program leader resumes, including additional professional involvement
8. Strategic and operating plans
9. Needs assessment of program constituents
10. Report of professional development activities

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

☐ 3.1 Organization Documents
- **Testing Programs and Services (TPS)** has clearly stated and current goals and outcomes, policies and procedures, descriptions of personnel responsibilities and expectations, and clear organizational charts.

Rationale:

☐ 3.2 Organization Structure
- The scope, roles, and responsibilities of TPS are clearly defined based upon its position in the institution.

- Regardless of where TPS is positioned within the organizational structure, TPS leaders communicate and collaborate with a network of key units across the institution to ensure coordination of related functions, programs, services, policies, and procedures.

Rationale:

3.3 Actions of Leaders
- Leaders model ethical behavior and institutional citizenship.
- Leaders with organizational authority provide strategic planning, management and supervision, and program advancement.

Rationale:

3.4 Strategic Planning
- TPS leaders articulate a vision and mission, as well as set goals and objectives based on the needs of populations served, intended student learning and development outcomes, and program outcomes.
- TPS leaders facilitate continuous development, implementation, and assessment of effectiveness and goal attainment congruent with institutional mission and strategic plans.
- TPS leaders promote environments that provide meaningful opportunities for student learning, development, and engagement.
- TPS leaders develop, adapt, and improve programs and services for populations served and institutional priorities.
- TPS leaders include diverse perspectives to inform decision-making.

Rationale:

3.5 Management
- TPS leaders plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources.
- TPS leaders manage human resource processes including recruitment, selection, performance planning, and succession planning.
- TPS leaders use evidence to inform decisions, incorporate sustainability practices, understand and integrate appropriate technologies, and are knowledgeable about relevant codes and laws.
- TPS leaders assess and take action to mitigate potential risks.
- TPS leaders monitor and ensure compliance with contractual obligations when appropriate.

Rationale:

3.6 Supervision
- TPS leaders manage human resource processes including professional development, supervision, evaluation, recognition, and reward.
- TPS leaders empower personnel to become effective leaders and to contribute to the effectiveness and success of the unit.
- TPS leaders encourage and support collaboration across the institution and scholarly contributions to the profession.

- <mark>TPS</mark> leaders identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement.

Rationale:

3.7 Program Advancement

- <mark>TPS</mark> leaders advocate for and actively promote the mission and goals of the programs and services.
- <mark>TPS</mark> leaders inform stakeholders about issues affecting practice.
- <mark>TPS</mark> leaders facilitate processes to reach consensus where wide support is needed.
- <mark>TPS</mark> leaders advocate for representation in strategic planning initiatives at divisional and institutional levels.
- TPS leaders are knowledgeable about issues, trends, theories, research, and methodologies related to tests, exams and assessment tools, test security, validity of data, and quality of the testing experience.

Rationale:

Overview Questions:
1. Explain the extent to which <mark>TPS</mark> leader(s) are viewed as and held responsible for advancing the departmental mission.
2. Explain the opportunities and limitations present for <mark>TPS</mark> leader(s) as they seek to fulfill the program mission.
3. How do <mark>TPS</mark> leaders advance the organization?
4. How do <mark>TPS</mark> leaders encourage collaboration across the institution?
5. How are <mark>TPS</mark> leaders accountable for their performance?
6. How have <mark>TPS</mark> leaders empowered personnel and engaged stakeholders?

Part 4: HUMAN RESOURCES

Suggested Evidence and Documentation:
1. Program mission, goals, and outcomes
2. Operating policy and procedure manuals/statements for program and institution
3. Organizational chart(s)
4. Personnel handbook, position descriptions (including student employees, volunteers, and graduate students), expectations, and performance review templates
5. Annual reports, including data on student utilization and staff-to-student ratios
6. Association or benchmark reports on operations and staffing
7. Student and staff personnel profiles or resumes, including demographic characteristics, educational background, and previous experience
8. Reports on personnel, including student employees and volunteers, employment experiences
9. Training agendas and schedules
10. Statement of staffing philosophy
11. Professional development activities
12. Minutes from staff meetings at which human resources related standards were discussed and addressed

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/	Does Not Meet	Partly Meets	Meets	Exceeds

		Unable to Rate				

☐ 4.1 Adequate Staffing and Support
- Testing Programs and Services (TPS) is staffed adequately to accomplish mission and goals.
- All personnel, including those who hold a joint appointment in TPS and in another department or program, possess the necessary expertise for assigned testing responsibilities and are committed to the mission, philosophy, goals, and priorities of the program.
- TPS has access to technical and support personnel adequate to accomplish the mission.

Rationale:

☐ 4.2 Recruitment, Supervision, and Professional Development
- TPS establishes procedures and expectations for personnel recruitment and selection, training, supervision, performance, and evaluation.
- TPS provides personnel access to education and professional development opportunities to improve their competence, skills, and leadership capacity.
- TPS considers work/life options available to personnel to promote recruitment and retention.

Rationale:

☐ 4.3 Employment Practices
- Administrators of TPS maintain personnel position descriptions, implement recruitment and hiring strategies that produce an inclusive workforce, and develop promotion practices that are fair, inclusive, proactive, and non-discriminatory.
- Personnel responsible for delivery of programs and services have written performance goals, objectives, and outcomes for each year's performance cycle to be used to plan, review, and evaluate work and performance and update them regularly.
- Results of individual personnel evaluations are used to recognize personnel performance, address performance issues, implement individual and/or collective personnel development and training programs, and inform the assessment of programs and services.

Rationale:

☐ 4.4 Personnel Training
- Personnel, including student employees and volunteers, receive appropriate and thorough training when hired and throughout their employment.
- Personnel have access to resources or receive specific training on institutional and governmental policies; procedures and laws pertaining to functions or activities they support; privacy and confidentiality; access to student records; sensitive institutional information; ethical and legal uses of technology; and technology used to store or access student records and institutional data.
- Personnel are trained on how and when to refer those in need of additional assistance to qualified personnel.
- Personnel are trained on systems and technologies necessary to perform their assigned responsibilities.
- TPS trains all program personnel about matters of confidentiality and the security of records and testing materials.

- Personnel engage in continuing professional development activities to keep abreast of research, theories, legislation, policies, and developments that affect programs and services.
- TPS personnel are trained in disability-related issues and regulations (e.g., ADA) to ensure institutional compliance and that constituents are receiving necessary support.
- Administrators ensure that personnel are knowledgeable about and trained in safety, emergency procedures, and crisis prevention and response, including identification of threatening conduct or behavior, and incorporate a system for responding to and reporting such behaviors.
- Personnel are knowledgeable of and trained in safety and emergency procedures for securing and vacating facilities.

Rationale:

☐ 4.5 Professional Personnel
- Professional personnel either hold an earned graduate or professional degree in a field relevant to their position or possess an appropriate confirmation of educational credentials and related work experience.
- TPS professional personnel are knowledgeable of current practices related to test security, validity of the testing data, and the quality of the testing experience.
- TPS personnel salaries and fringe benefits are based upon experience and responsibilities commensurate with similar positions.
- TPS professional personnel are competent and experienced in
  o test, exam, and assessment tool methodologies and professional standards and practices
  o writing and communicating at a professional level
  o working in culturally and academically diverse environments
  o consulting, collaborating, and negotiating with personnel, faculty, and administrators of academic and student affairs units
  o training, supervising, and mentoring proctors

Rationale:

☐ 4.6 Interns and Graduate Assistants
- Degree- or credential-seeking interns or graduate assistants are qualified by enrollment in an appropriate field of study and by relevant experience.
- Degree- or credential-seeking interns or graduate assistants are trained and supervised by professional personnel who possess applicable educational credentials and work experience, have supervisory experience and are cognizant of the dual roles of interns and graduate assistants as students and employees.
- Supervisors of interns or graduate assistants adhere to parameters of students' job descriptions, articulate intended learning outcomes in student job descriptions, adhere to agreed-upon work hours and schedules, and offer flexible scheduling when circumstances necessitate.
- Supervisors and students both agree to suitable compensation if circumstances necessitate additional hours.

Rationale:

☐ 4.7 Student Employees and Volunteers

- Student employees and volunteers are carefully selected, trained, supervised, and evaluated; have access to a supervisor; and are provided clear job descriptions, pre-service training based on assessed needs, and continuing development.

Rationale:

Overview Questions:
1. In what ways are personnel qualifications examined, performance evaluated, and personnel recognized for exemplary performance?
2. How are professional development efforts designed, how do they support achievement of the TPS mission, and how do they prepare and educate staff on relevant information?
3. How has the staffing model been developed to ensure successful program operations?
4. Describe the TPS philosophy toward engaging graduate interns and assistants, and student employees and volunteers in the program human resource pool.

Part 5: ETHICS

Suggested Evidence and Documentation:
1. Program code or statement of ethics
2. Ethics statements from relevant functional area professional associations
3. Personnel policies, procedures and/or handbook
4. Student code of conduct
5. Operating policies and procedures related to human subjects research (Institutional Review Board, IRB)
6. Minutes from meetings during which staff reviewed and discussed ethics

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

5.1 Ethical Standards
- Testing Programs and Services (TPS) reviews applicable professional ethical standards and adopts or develops and implements appropriate statements of ethical practice.
- TPS publishes and adheres to statements of ethical practice, ensures their periodic review, and orients new personnel to relevant statements of ethical practice and related institutional policies.

Rationale:

5.2 Statement of Ethical Standards
- Statements of ethical standards specify that TPS personnel respect privacy and maintain confidentiality in communications and records as delineated by privacy laws.
- Statements of ethical standards specify limits on disclosure of information contained in students' records as well as requirements to disclose to appropriate authorities.
- Statements of ethical standards address conflicts of interest, or appearance thereof, by personnel in the performance of their work and reflect the responsibility of personnel to be fair, objective, and impartial in their interactions with others.
- Statements of ethical standards reference management of institutional funds, appropriate behavior regarding research and assessment with human participants, confidentiality of research

and assessment data, students' rights and responsibilities, and issues surrounding scholarly integrity.

- Statements of ethical standards include the expectation that personnel confront and hold accountable other personnel who exhibit unethical behavior.

Rationale:

☐ 5.3 Ethical Obligations

- TPS personnel employ ethical decision making in the performance of their duties.
- TPS personnel ensure access to testing materials is strictly controlled and monitored and individual passwords and login credentials are never shared.
- TPS personnel inform users of programs and services of ethical obligations and limitations emanating from codes and laws or from licensure requirements.
- TPS personnel recognize and avoid conflicts of interest that could adversely influence their judgment or objectivity and, when unavoidable, recuse themselves from the situation.
- TPS personnel perform their duties within the scope of their position, training, expertise, and competence and make referrals when issues presented exceed the scope of the position.
- TPS personnel utilize appropriate means for reporting issues related to academic integrity, plagiarism, code of student conduct, students' rights and responsibilities, and other similar policies.
- When delivering third party tests, exams and assessment tools, TPS personnel utilize appropriate means for reporting issues related to integrity, exam security, and other similar policies.

Rationale:

Overview Questions:
1. What is the TPS strategy for managing student and personnel confidentiality and privacy issues?
2. How are ethical dilemmas and conflicts of interest identified and addressed?
3. How are ethics incorporated into the daily management and decision-making processes of TPS?

Part 6: LAW, POLICY, AND GOVERNANCE

Suggested Evidence and Documentation:
1. Emergency procedures
2. Operating policies and procedures
3. Personnel policies, procedures and/or handbook
4. Institutional codes of conduct
5. Contracts
6. Copies of related laws and legal obligations
7. Resources of professional liability insurance

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

☐ 6.1 Legal Obligations and Responsibilities

- Testing Programs and Services (TPS) is 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.
- TPS maintains the security of all confidential records, including testing materials and work products.
- TPS has access to legal advice needed for personnel to carry out their assigned responsibilities.
- TPS informs personnel, appropriate officials, and users of programs and services about existing and changing legal obligations, risks and liabilities, and limitations.
- TPS informs personnel about professional liability insurance options and refers them to external sources if the institution does not provide coverage.

Rationale:

6.2 Policies and Procedures
- TPS has written policies and procedures on operations, transactions, or tasks that have legal implications.
- TPS regularly reviews policies that are informed by best practices, available evidence, and policy issues in higher education.
- TPS has procedures, systems and guidelines consistent with institutional policy for responding to threats, emergencies, and crisis situations and disseminates timely and accurate information to students, other members of the institutional community, and appropriate external organizations during emergency situations.
- TPS has procedures and policies in place that are designed to ensure, to the extent possible, the integrity of test materials and administration during emergency situations.

Rationale:

6.3 Harassment and Hostile Environments
- TPS personnel neither participate in nor condone any form of harassment or activity that demeans persons or creates an intimidating, hostile, or offensive environment.

Rationale:

6.4 Copyright Compliance
- TPS purchases or obtains permission to use copyrighted materials and instruments and includes appropriate citations on materials and instruments.

Rationale:

6.5 Governance
- TPS informs personnel about internal and external governance organizations that affect programs and services.

Rationale:

6.6 Third-Party Vendors
- Prior to contracting, TPS ensures that any proposed contractual obligations do not conflict with institutional policies or procedures.

- When delivering third party tests, exams and assessment tools, TPS adheres to the instructions, policies, and procedures communicated by the third party.

Rationale:

Overview Questions:
1. What are the crucial legal, policy and, governance issues faced by TPS, and how are they addressed?
2. How are personnel instructed, advised, or assisted with legal, policy, and governance concerns?
3. How are personnel informed about internal and external governance systems?

Part 7: DIVERSITY, EQUITY, AND ACCESS

Suggested Evidence and Documentation:
1. Diversity statements
2. Goals and objectives related to diversity, equity, and access
3. Training plans and agendas for personnel
4. Lists of programs and curriculums related to diversity, equity, and access
5. Personnel policies, procedures, and/or handbook (specifically statements against harassment or discrimination)
6. Facilities audit
7. Assessment results such as participation rates, demographics, campus climate, and student needs

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

7.1 Inclusive Work Environments
- Testing Programs and Services (TPS) creates and maintains educational work environments that are welcoming, accessible, inclusive, equitable, and free from harassment.
- TPS does not discriminate on the basis of ability; age; cultural identity; ethnicity; family educational history; gender identity and expression; nationality; political affiliation; race; religious affiliation; sex; sexual orientation; economic, marital, social, or veteran status; or any other basis included in institutional policies and codes and laws.

Rationale:

7.2 Structural Aspects of Equity, Access, and Inclusion
- TPS ensures physical, program, and resource access for all constituents; modifies or removes policies, practices, systems, technologies, facilities, and structures that create barriers or produce inequities; and ensures that when facilities and structures cannot be modified, they do not impede access.
- TPS offers tests, exams, and assessments in varying modalities to meet the needs of test takers with disabilities.
- Reasonable and appropriate accommodations are provided at no additional cost to the test taker. In the case of individuals utilizing TPS for the purposes of taking a test or exam from a third party or outside institution, TPS works with the third party or institution to cover any additional costs incurred in the delivery of the accommodation.

- TPS responds to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources.
- TPS recognizes the needs of distance and online learning students by directly providing or assisting them to gain access to comparable services and resources.

Rationale:

☐ 7.3 Ensuring Diversity, Equity, and Access
- TPS advocates for sensitivity to multicultural and social justice concerns by the institution and its personnel.
- TPS establishes goals for diversity, equity, and access; fosters communication and practices that enhance understanding of identity, culture, self-expression, and heritage; and promotes respect for commonalities and differences among people within their historical and cultural contexts.
- TPS addresses the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices.
- TPS provides tests, exams, and assessments in formats that address and meet the needs of constituents from diverse backgrounds.
- TPS provides personnel with diversity, equity, and access training and holds personnel accountable for applying the training to their work.

Rationale:

Overview Questions:
1. How does TPS ensure constituents experience a welcoming, accessible, and inclusive environment that is equitable and free from harassment?
2. How does TPS address imbalance in participation among selected populations of students?
3. How does TPS address imbalance in staffing patterns among selected populations of program personnel?
4. How does TPS ensure cultural competence of its personnel to ensure inclusion in the program?
5. How does TPS encourage and provide opportunities for ongoing professional development for its personnel?

Part 8: INTERNAL AND EXTERNAL RELATIONS

Suggested Evidence and Documentation:
1. Promotional material (brochures/sources of information about the program, catalogs, brochures, staff and student handbooks)
2. Media procedures and guidelines
3. List and description of relationships with internal and external partners
4. Minutes from meetings/interactions with key stakeholders

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

☐ 8.1 Internal and External Populations

- Testing Programs and Services (TPS) reaches out to internal and external populations 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.
- TPS reaches out to internal and external populations to garner support and resources for programs and services, collaborate in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes, and engage diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents.
- TPS reaches out to internal and external populations to disseminate information about the programs and services.

Rationale:

☐ 8.2 Marketing
- Promotional and descriptive information is accurate and free of deception and misrepresentation.

Rationale:

☐ 8.3 Procedures and Guidelines
- TPS has procedures and guidelines consistent with institutional policy to communicate with the media; distribute information through print, broadcast, and online sources; contract with external organizations for delivery of programs and services; cultivate, solicit, and manage gifts; and apply to and manage funds from grants.

Rationale:

Overview Questions:
1. With which relevant individuals, campus offices, and external agencies must TPS maintain effective relations? Why are these relationships important, and how are they mutually beneficial?
2. How does TPS maintain effective relationships with program constituents?
3. How does TPS assess the effectiveness of its relations with individuals, campus offices and external agencies?

Part 9: FINANCIAL RESOURCES

Suggested Evidence and Documentation:
1. Budgets and the budget process
2. Financial statements and audit reports
3. Student fee process and allocation (if applicable)
4. Financial statements for grants, gifts, and other external resources

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

9.1 Adequate Funding

- Testing Programs and Services (TPS) has funding to accomplish its mission and goals.
- If contracts with third parties are entered into, TPS ensures adequate funding, space, equipment, and personnel are available to meet the requirements for and delivery of contracted services.

Rationale:

9.2 Financial Planning and Implementation

- TPS conducts a comprehensive analysis to determine unmet needs, relevant expenditures, external and internal resources, and impact on students and the institution.
- TPS uses the budget as a planning tool to reflect commitment to the mission and goals of the programs and services and of the institution.
- Financial reports provide an accurate financial overview of the organization and provide clear, understandable, and timely data upon which personnel can plan and make informed decisions.

Rationale:

9.3 Policies, Procedures, and Protocols

- TPS administers funds in accordance with established institutional accounting procedures.
- All supplemental funding received through fees are managed using the institutional budgetary practices.
- TPS funds acquired through grants and other non-institutional resources are managed according to the regulations and guidelines of the funding source and the institution.
- TPS demonstrates efficient and effective use and responsible stewardship of fiscal resources consistent with institutional protocols.
- Procurement procedures are consistent with institutional policies, ensure purchases comply with laws and codes for usability and access, ensure the institution receives value for the funds spent, and consider information available for comparing the ethical and environmental impact of products and services purchased.

Rationale:

Overview Questions:
1. What is the funding strategy for TPS, and why is this the most appropriate approach?
2. How does TPS ensure fiscal responsibility, responsible stewardship, and cost-effectiveness?
3. If applicable, how does TPS go about increasing financial resources?

Part 10: TECHNOLOGY

Suggested Evidence and Documentation:
1. Technology policies and procedures
2. Equipment inventory

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

☐ 10.1 Current and Adequate Technology
  - Testing Programs and Services (TPS) has adequate technology to support achievement of its mission and goals.
  - Use of technology complies with institutional policies and procedures and relevant codes and laws.

Rationale:

☐ 10.2 Use of Technology
  - TPS uses current technology to provide updated information regarding mission, location, staffing, programs, services, and official contacts to students and other constituents in accessible formats.
  - TPS uses current technology to provide an avenue for students and other constituents to communicate sensitive information in a secure format, and enhance the delivery of programs and services for all students.

Rationale:

☐ 10.3 Data Protection and Upgrades
  - TPS backs up data on a regular basis.
  - TPS articulates and adheres to policies and procedures regarding ethical and legal use of technology, as well as for protecting the confidentiality and security of information.
  - TPS implements a replacement plan and cycle for all technology with attention to sustainability and incorporates accessibility features into technology-based programs and services.
  - TPS ensures that systems for scheduling, record keeping, and the delivery of services are secure.

Rationale:

☐ 10.4 Student Technology Access
  - TPS has policies on student use of technology that are clear, easy to understand, and available to all students.
  - TPS provides information or referral to support services for those needing assistance in accessing or using technology, provides instruction or training on how to use the technology, and informs students of implications of misuse of technologies.

Rationale:

Overview Questions:
1. How is technology inventoried, maintained, and updated?
2. How is information security maintained?
3. How does TPS ensure that relevant technology is available for all who are served by the program?
4. How does TPS use technology to enhance the delivery of programs, resources, services and overall operations?
5. How does TPS utilize technology to foster its learning outcomes?

Part 11: FACILITIES AND EQUIPMENT

Suggested Evidence and Documentation:
1. Equipment inventory
2. Facilities audit and plans for renovations, additions, and enhancements
3. Capital projects, if applicable
4. Structural design or maps to show space allocation
5. Images of the space

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

[ ]   11.1 Design of Facilities
- Testing Programs and Services (TPS) facilities are intentionally designed and located in suitable, accessible, and safe spaces that demonstrate universal design and support the TPS mission and goals.
- TPS is able to control access to testing spaces during test administration.
- Facilities are designed to engage various constituents and promote learning.
- The design of the facilities guarantees the security and privacy of records and ensures the confidentiality of sensitive information and conversations.
- TPS provides secure storage for equipment, supplies, testing materials, test takers' belongings, and confidential records.
- TPS has spacing and/or dividers between test delivery stations in order to prevent unauthorized collaboration or cheating.
- TPS provides seating that allows personnel for unobstructed observation of all test takers (can be via video monitor).

Rationale:

[ ]   11.2 Work Space
- Personnel have workspaces that are suitably located and accessible, well equipped, adequate in size, and designed to support their work and responsibilities.
- Personnel are able to secure their work.

Rationale:

[ ]   11.3 Equipment Acquisition and Facilities Use
- TPS incorporates sustainable practices in use of facilities and purchase of equipment.
- Facilities and equipment are evaluated on an established cycle and are in compliance with codes, laws, and accepted practices for access, health, safety, and security.
- When acquiring capital equipment, TPS takes into account expenses related to regular maintenance and life-cycle costs.

Rationale:

Overview Questions:
1. How are facilities inventoried and maintained?
2. How does TPS integrate sustainable practices?

3. How does TPS ensure that facilities, workspaces, and equipment are considered in decision-making?
4. How is TPS intentional about space allocation and usage?

Part 12: ASSESSMENT

Suggested Evidence and Documentation:
1. Program goals, key indicators, outcomes, and related assessment data
2. Program student learning and development outcomes and related assessment data
3. Description of assessment cycle
4. Assessment plans and annual assessment reports
5. Minutes of meetings at which assessment activities and results discussed
6. Professional development activities to improve assessment competence

Criterion Measures:

DNA	IE	0	1	2	3
Does Not Apply	Insufficient Evidence/ Unable to Rate	Does Not Meet	Partly Meets	Meets	Exceeds

12.1 Assessment Plan and Practice
- Testing Programs and Services (TPS) develops an ongoing cycle of assessment plans, processes, and activities.
- TPS identifies programmatic goals and intended program outcomes as well as outcomes for student learning and development.
- TPS identifies and assesses the student learning and development outcome domains and dimensions relevant to participation in the program.
- TPS documents progress toward achievement of goals and outcomes.
- TPS employs multiple measures, methods, and manageable processes for gathering, interpreting, and evaluating data.
- Assessment practices in TPS are both formal and informal. Established schedules are developed for formal assessment.
- TPS employs ethical practices in the assessment process.
- TPS has access to adequate fiscal, human, professional development, and technological resources to develop and implement assessment plans.
- TPS advocates for the ability to collect and analyze data and has access to appropriate institutional and third-party data.

Rationale:

12.2 Reporting and Implementing Results
- TPS interprets and uses assessment results to demonstrate accountability and inform planning and decision-making.
- TPS reports aggregated results to respondent groups and stakeholders.
- TPS assesses effectiveness of implemented changes and provides evidence of improvement of programs and services.

Rationale:

Overview Questions:

1. What is the comprehensive assessment strategy for TPS?
2. What are priorities of the assessment program, and how are those developed?
3. How does TPS integrate assessment and evaluation into all aspects of daily operations (e.g., advising, event planning)?
4. How are tangible, measurable learning and program outcomes determined to ensure the achievement of TPS mission and goals?
5. How effective is the assessment strategy in demonstrating goal achievement and student learning?
6. How does TPS use assessment results to inform program improvement?
7. How does TPS share assessment results with relevant constituencies?
8. How does TPS support ongoing development of assessment competencies for personnel?

General Standards revised in 2014;
TPS revised in 2018

Work Form A – Rating Discrepancies

This work form should be completed following a review of the individual ratings of the team members. Item numbers for which there is a substantial rating discrepancy should be discussed before completing the remaining work forms. Discrepancies among ratings should be identified, discussed, and reconciled for consensus.

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

Work Form B – Strengths and Areas for Improvement

INSTRUCTIONS:

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

- Strengths: Item number(s) for which all participants have given a rating of 3, indicating agreement that the criterion *exceeds* the standard.
- Areas for Improvement: Item number(s) for which all participants have given a rating of 0 or 1, indicating agreement that the criterion *does not meet* or *partly meets* the standard. Items rated IE for *insufficient evidence/unable to rate* should be listed here as well.

Note – Items not listed in one of these categories represent consensus among the raters that practice in that area is satisfactory, having been rated a 2, which indicates agreement that the criterion *meets* the standard.

Part	Strengths: Items that exceed the standard (consensus ratings = 3)	Areas for Improvement: Items that do not meet or partly meet the standard (consensus ratings = 0, 1)
1. Mission		
2. Program		
3. Organization and Leadership		
4. Human Resources		
5. Ethics		
6. Law, Policy, and Governance		
7. Diversity, Equity, and Access		
8. Internal and External Relations		
9. Financial Resources		

10. Technology		
11. Facilities and Equipment		
12. Assessment		

Work Form C – Recommendations for Unit Action

INSTRUCTIONS:

This is the last form to be completed by the review team. List the items needing follow-up action for improvement and indicate what requires attention. The team or coordinator should consider including any criterion measure rated as being not met by the reviewers, as well as those with significant discrepancies that are not resolved by team discussion.

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

Work Form D – Beginning the Action Plan

Part 1. Mission

Part 2. Program

Part 3. Organization and Leadership

Part 4. Human Resources

Part 5. Ethics

Part 6. Law, Policy, and Governance

Part 7. Diversity, Equity, and Access

Part 8. Internal and External Relations

Part 9. Financial Resources

Part 10. Technology

Part 11. Facilities and Equipment

Part 12. Assessment

Work Form E – Action Plan

INSTRUCTIONS:
Using this work form, the unit staff will turn the summary of areas to be addressed identified by the review team (Work Form D) into a specific plan of action. After reviewing the information provided in Work Forms B and C, unit staff teams should describe practices in need of improvement, the actions to be taken, the individual responsible, and the timeline for achieving compliance with the standard.

Current Practice Description	Corrective Action Needed	Task Assigned To	Timeline/ Due Dates

TESTING PROGRAMS AND SERVICES
CAS Standards and Guidelines

Part 1. MISSION

The mission of Testing Programs and Services (TPS) must be to promote and provide quality test administration services for enrolled students, potential students, and community members and to offer the best opportunity for test takers to demonstrate accurately their knowledge, skills, abilities, and behaviors.

TPS must develop, disseminate, implement, and regularly review their missions, which must be consistent with the mission of their institution and with applicable professional standards. The mission must be appropriate for the institution's students and other constituents. Mission statements must reference student learning and development.

TPS must establish goals that
- are consistent with the standards and guidelines within the profession
- are guided by professional standards and guidelines
- are relevant to its placement in the institutional structure
- provide a variety of test, exam, and assessment tools and approaches
- support the academic integrity standards and requirements of the institution
- maximize the security and integrity of testing materials, administration, and results

Part 2. PROGRAM

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

To contribute to student learning and development, TPS must
- identify relevant and desirable student learning and development outcomes
- articulate how the student learning and development outcomes align with the six CAS student learning and development domains and related dimensions
- assess relevant and desirable student learning and development
- provide evidence of impact on outcomes
- articulate contributions to or support of student learning and development in the domains not specifically assessed
- use evidence gathered to create strategies for improvement of programs and services

STUDENT LEARNING AND DEVELOPMENT DOMAINS AND DIMENSIONS

Domain: knowledge acquisition, integration, construction, and application

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

Domain: cognitive complexity

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

Domain: intrapersonal development

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

Domain: interpersonal competence

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

Domain: humanitarianism and civic engagement

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

Domain: practical competence

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

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

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

- designed to provide universal access

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

TPS should collaborate with appropriate members of academic and student affairs departments in searching for test, exam, and assessment tools to increase student success upon graduation.

TPS tests, exams, and assessments may include:
- academic or classroom testing
- standardized entrance exams
- academic proficiency and placement screenings and tests
- certification and licensure exams
- computer adaptive and other exams requiring specialized hardware or software systems
- advanced placement tests such as credit by exam
- pre-employment screening exams
- accommodated testing for individuals with disabilities
- distance learning and classroom make-up exams

TPS must deliver services using formats appropriate to the range of diverse needs of test takers and users of test results.

TPS may use a variety of test delivery modalities such as paper-based testing, computer-based testing, web-based exams, internet-based exams, and skills laboratories.

Tests, exams, and assessment tools offered by TPS may be delivered on-campus, off-campus, online, or in blended formats.

When required to report test, exam, or assessment tool results TPS must do so accurately, timely, and with integrity.

TPS must refer students to appropriate campus and community resources for assistance outside the purview or beyond the expertise of the program.

TPS must promote campus-wide understanding of how their services support the learning needs of all student populations and stakeholders.

Strategies to promote this understanding may include
- providing resources to faculty and personnel that enhance and support student learning, development, and success
- promoting secure standardized testing environments

- participating in personnel and faculty development and in-service programs on testing approaches and strategies that address the development of learning skills, attitudes, and behaviors, and the assessment of student learning outcomes
- encouraging the use of program resources, materials, instruction, and services as integral or supplemental to classroom activities
- disseminating information that describes programs and services, hours of operation, and procedures for registering or scheduling appointments
- training and supervising individuals to work in such capacities as testing proctors, peer mentors, and group leaders
- providing jobs, practica, courses, internships, mentoring, and assistantships for students interested in testing and related careers
- collaborating with other community groups and educational institutions to provide college and career readiness assistance
- creating a web portal presence to connect/direct students to resources on and off campus
- increasing awareness across the institution of the importance of secure test delivery to ensure the validity of exam results

Part 3. ORGANIZATION AND LEADERSHIP

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

The mission and goals of TPS, the needs and demographics of their clients, and their institutional role should determine where the unit is located in the organizational structure of the institution.

The scope, roles, and responsibilities of TPS must be clearly defined based upon its position in the institution.

Regardless of where TPS is positioned within the organizational structure, TPS leaders must communicate and collaborate with a network of key units across the institution to ensure coordination of related functions, programs, services, policies, and procedures.

Leaders must model ethical behavior and institutional citizenship.

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

Strategic Planning

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

Management and Supervision
- plan, allocate, and monitor the use of fiscal, physical, human, intellectual, and technological resources
- manage human resource processes including recruitment, selection, professional development, supervision, performance planning, succession planning, evaluation, recognition, and reward
- influence others to contribute to the effectiveness and success of the unit
- empower professional, support, and student personnel to become effective leaders
- encourage and support collaboration with colleagues and departments across the institution
- encourage and support scholarly contributions to the profession
- identify and address individual, organizational, and environmental conditions that foster or inhibit mission achievement
- use current and valid evidence to inform decisions
- incorporate sustainability practices in the management and design of programs, services, and facilities
- understand appropriate technologies and integrate them into programs and services
- be knowledgeable about codes and laws relevant to programs and services and ensure that programs and services meet those requirements
- assess and take action to mitigate potential risks

TPS leaders must monitor and ensure compliance with contractual obligations when appropriate.

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

TPS leaders must be knowledgeable about issues, trends, theories, research, and methodologies related to tests, exams and assessment tools, test security, validity of data, and quality of the testing experience.

TPS leaders should
- participate in institutional planning, policy, procedural, and fiscal decisions related to testing and assessment needs of the institution
- seek opportunities for additional funding, resources, and facilities, as needed
- represent the program on institutional committees
- collaborate with leaders of academic departments and support services in addressing the role of tests, exams and assessment tools in the learning needs of students
- be involved in research, publication, presentations, consultation, and activities of professional organizations
- communicate with professional colleagues in the testing field and related professions
- promote and advertise their programs and services
- demonstrate the ability to plan, prepare, and oversee budgets that sustain and advance the mission, goals and objectives of the program

Part 4. HUMAN RESOURCES

Testing Programs and Services (TPS) must be staffed adequately by individuals qualified to accomplish mission and goals.

Personnel may include full-time and/or part-time faculty, professional staff, student employees, interns, and graduate assistants.

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

Administrative and technical personnel should be knowledgeable about current programs, services, policies, and procedures in order to expedite smooth and efficient assistance to test takers.

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

All personnel, including those who hold a joint appointment in TPS and in another department or program, must possess the necessary expertise for assigned testing responsibilities and be committed to the mission, philosophy, goals, and priorities of the program.

Administrators of TPS must

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

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

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

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

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

TPS must train all program personnel about matters of confidentiality and the security of records and testing materials.

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

TPS personnel must be trained in disability-related issues and regulations (e.g., ADA), to ensure institutional compliance and that constituents are receiving necessary support.

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

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

PROFESSIONAL PERSONNEL

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

TPS professional personnel must be knowledgeable of current practices related to test security, validity of the testing data, and the quality of the testing experience.

TPS personnel salaries and fringe benefits should be based upon experience and responsibilities commensurate with similar positions.

TPS professional personnel must be competent and experienced in
- test, exam, and assessment tool methodologies and professional standards and practices
- writing and communicating at a professional level
- working in culturally and academically diverse environments
- consulting, collaborating, and negotiating with personnel, faculty, and administrators of academic and student affairs units
- training, supervising, and mentoring proctors

TPS professional personnel should be competent and experienced in
- understanding the unique characteristics and needs of the populations they assist
- designing, implementing, and utilizing testing strategies, materials, and technologies
- identifying and establishing lines of communication for referral to other institutional and community resources

INTERNS OR GRADUATE ASSISTANTS

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

Supervisors must
- adhere to parameters of students' job descriptions
- articulate intended learning outcomes in student job descriptions
- adhere to agreed-upon work hours and schedules

- offer flexible scheduling when circumstances necessitate

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

STUDENT EMPLOYEES AND VOLUNTEERS

Student employees and volunteers must be carefully selected, trained, supervised, and evaluated. Students must have access to a supervisor. Student employees and volunteers must be provided clear job descriptions, pre-service training based on assessed needs, and continuing development.

If volunteers are utilized or if undergraduate students are employed by TPS, their duties should be limited to performing office tasks and not administering tests, for the protection of student employees and volunteers as well as preservation of test integrity.

Exceptions may be made for personnel who are taking undergraduate classes but who are primarily institutional personnel, so long as testing integrity is preserved, and no perceived or actual conflict of interest is created.

Part 5. ETHICS

Testing Programs and Services (TPS) must
- review applicable professional ethical standards and must adopt or develop and implement appropriate statements of ethical practice
- publish and adhere to statements of ethical practice and ensure their periodic review
- orient new personnel to relevant ethical standards and statements of ethical practice and related institutional policies

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

TPS must ensure access to testing materials is strictly controlled and monitored and individual passwords and login credentials are never to be shared.

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

TPS personnel must utilize appropriate means for reporting issues related to academic integrity, **plagiarism, code of student conduct, students' rights and responsibilities, and other similar policies.**

When delivering third party tests, exams and assessment tools, TPS personnel must utilize appropriate means for reporting issues related to integrity, exam security, and other similar policies.

Part 6. LAW, POLICY, AND GOVERNANCE

Testing Programs and Services (TPS) 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.

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

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

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

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

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

TPS 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.

TPS must have procedures and policies in place that are designed to ensure, to the extent possible, the integrity of test materials and administration during emergency situations.

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

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

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

Prior to contracting, TPS must ensure that any proposed contractual obligations do not conflict with institutional policies or procedures.

When delivering third party tests, exams and assessment tools, TPS must adhere to the instructions, policies, and procedures communicated by the third party.

TPS must maintain the security of all confidential records, including testing materials and work products.

Part 7. DIVERSITY, EQUITY, AND ACCESS

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

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

TPS must
- advocate for sensitivity to multicultural and social justice concerns by the institution and its personnel
- ensure physical, program, and resource access for all constituents
- modify or remove policies, practices, systems, technologies, facilities, and structures that create barriers or produce inequities
- ensure that when facilities and structures cannot be modified, they do not impede access to programs, services, and resources
- establish goals for diversity, equity, and access

- foster communication and practices that enhance understanding of identity, culture, self-expression, and heritage
- promote respect for commonalities and differences among people within their historical and cultural contexts
- address the characteristics and needs of diverse constituents when establishing and implementing culturally relevant and inclusive programs, services, policies, procedures, and practices
- provide personnel with diversity, equity, and access training and hold personnel accountable for applying the training to their work
- respond to the needs of all constituents served when establishing hours of operation and developing methods of delivering programs, services, and resources
- recognize the needs of distance and online learning students by directly providing or assisting them to gain access to comparable services and resources

TPS must provide tests, exams, and assessments in formats that address and meet the needs of constituents from diverse backgrounds.

TPS must offer tests, exams, and assessments in varying modalities to meet the needs of test takers with disabilities.

Reasonable and appropriate accommodations must be provided at no additional cost to the test taker. In the case of individuals utilizing TPS for the purposes of taking a test or exam from a third party or outside institution, TPS must work with the third party or institution to cover any additional costs incurred in the delivery of the accommodation.

Part 8. INTERNAL AND EXTERNAL RELATIONS

Testing Programs and Services (TPS) must reach out to individuals, groups, communities, and organizations internal and external to the institution to
- establish, maintain, and promote understanding and effective relations with those that have a significant interest in or potential effect on the students or other constituents served by the programs and services
- garner support and resources for programs and services as defined by the mission
- collaborate in offering or improving programs and services to meet the needs of students and other constituents and to achieve program and student outcomes
- engage diverse individuals, groups, communities, and organizations to enrich the educational environment and experiences of students and other constituents
- disseminate information about the programs and services

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

TPS must have procedures and guidelines consistent with institutional policy for

- communicating with the media
- distributing information through print, broadcast, and online sources
- contracting with external organizations for delivery of programs and services
- cultivating, soliciting, and managing gifts
- applying to and managing funds from grants

TPS should
- establish and maintain communication throughout the institution to promote the exchange of knowledge and expertise regarding the program
- disseminate information about program outcomes to the institutional community
- collaborate with appropriate members of academic and student affairs departments when providing testing services and related support programs to serve as a resource and provide consultation within institutional guidelines
- advocate for representation on institutional committees relevant to program mission and goals

TPS should expedite test taker referrals to and from the program.

Part 9. FINANCIAL RESOURCES

Testing Programs and Services (TPS) must have funding to accomplish the mission and goals.

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

TPS may pursue opportunities for supplemental funding.

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

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

TPS funds acquired through grants and other non-institutional resources must be managed according to the regulations and guidelines of the funding source and the institution.

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

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

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

TPS may receive supplemental funding from student, community, and third-party fees charged for services.

If fees for service are determined by TPS, they should be reasonable for the varying constituent groups.

All supplemental funding received through fees must be managed using the institutional budgetary practices.

If contracts with third parties are entered into, TPS must ensure adequate funding, space, equipment, and personnel are available to meet the requirements for and delivery of contracted services.

Part 10. TECHNOLOGY

Testing Programs and Services (TPS) must have technology to support the achievement of their mission and goals. The technology and its use must comply with institutional policies and procedures and with relevant codes and laws.

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

TPS must ensure that systems for scheduling, record keeping, and the delivery of services are secure.

TPS systems should be integrated with institutional systems. Appropriate personnel should be available to assist in maintaining up-to-date systems for testing, record-keeping, and assessment.

TPS must
- back up data on a regular basis
- adhere to institutional policies regarding ethical and legal use of technology
- articulate policies and procedures for protecting the confidentiality and security of information
- implement a replacement plan and cycle for all technology with attention to sustainability

- incorporate accessibility features into technology-based programs and services

When providing student access to technology, TPS must
- have policies on the use of technology that are clear, easy to understand, and available to all students
- provide information or referral to support services for those needing assistance in accessing or using technology
- provide instruction or training on how to use the technology
- inform students of implications of misuse of technologies

TPS may
- use multiple hardware and software systems requiring technology support
- use specialized software or hardware for implementing disability services requiring specialty training for proctors
- collaborate with the institution's disability resources and services to secure technology or resources to provide accommodated testing
- require monitoring of system downtimes for updates ensuring they do not impact student testing
- limit access to unauthorized technology during test administration in order to enhance security and test integrity

Part 11. FACILITIES AND EQUIPMENT

Testing Programs and Services' (TPS) facilities must be intentionally designed and located in suitable, accessible, and safe spaces that demonstrate universal design and support th**e program's mission and goals.**

TPS must be able to control access to testing spaces during test administration.

TPS must have spacing and/or dividers between test delivery stations in order to prevent unauthorized collaboration or cheating.

TPS must provide seating that allows personnel for unobstructed observation of all test takers (can be via video monitor).

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

TPS functions should be housed in well-lit, heated, cooled, quiet, and well-ventilated spaces with appropriate acoustics.

TPS facilities and equipment should support the instructional, service, and office functions of the program.

TPS facilities should include flexible space to accommodate different delivery modes and test taker needs.

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

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

TPS must provide secure storage for equipment, supplies, testing materials, test takers' belongings, and confidential records.

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

When acquiring capital equipment, TPS must take into account expenses related to regular maintenance and lifecycle costs.

Part 12. ASSESSMENT

Testing Programs and Services (TPS) must develop assessment plans and processes.

TPS assessment plans must articulate an ongoing cycle of assessment activities.

TPS must identify and assess the student learning and development outcome domains and dimensions relevant to participation in the program.

The role of TPS in learning and development outcome assessment may be through developing strategies for administering tests or through the analysis of performance on the various instruments.

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

Assessment practices in TPS must be both formal and informal. Established schedules must be developed for formal assessment.

Additional program measures may include
- data on the size of the user population
- numbers utilizing particular services and number of contact hours
- number and types of exams delivered
- number and types of violations to standard procedures
- satisfaction surveys of test takers or sources of referrals to the program

Periodic evaluations of TPS may be performed by on-campus experts and outside consultants. Evaluations should be disseminated to appropriate administrators and constituencies.

TPS should conduct periodic self-assessments, utilizing self-study processes endorsed by professional organizations. The assessments should examine the quality of services provided as well as the potential impact on test takers over time. Additionally, outcomes associated with TPS should reflect improved test delivery and performance as a result of TPS interventions.

TPS should periodically review and revise its services based on the results of program assessment and evaluation outcomes. Data that reveal trends or changes in test taker demographics, characteristics, needs, and outcomes should be utilized for TPS short- and long-term planning.

TPS must employ ethical practices in the assessment process.

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

TPS must advocate for the ability to collect and analyze data and have access to appropriate institutional and third-party data.

General Standards revised in 2014;
TPS content developed in 2018