Council for the Advancement of Standards in Higher Education

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

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

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

CAS MISSION STATEMENT

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

CAS STANDARDS AND GUIDELINES

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

OVER FORTY YEARS OF PROFESSIONAL SERVICES

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

DISCLAIMER

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

Please direct your questions to the CAS Executive Director (executive_director@cas.edu or 202-862-1400).

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) play important roles in helping students demonstrate learning outcomes, 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 legal issues such as ADA, FERPA, and others, 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*. Altbach (2016) 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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TESTING PROGRAMS AND SERVICES
CAS Standards and Guidelines

Guiding Principle: Students and Their Environments

PART 1. MISSION

1.1 Programs and Services 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 and define its mission.

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

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

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

1.2 Mission Statement

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

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

PART 2. PROGRAM AND SERVICES

2.1 Program and Services Goals

Testing Programs and Services (TPS) must be guided by a set of written goals and objectives that are directly related to the stated mission.

TPS must establish goals that
- are informed by standards and current practice of relevant professional organizations
- provide a variety of test, exam, and assessment tools and approaches

maximize the security and integrity of testing materials, administration, and results

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

TPS must establish goals that are relevant to its placement in the institutional structure.

TPS must establish goals that support the academic integrity standards and requirements of the institution.

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

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

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

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

2.2 Program Information and Services

TPS must provide relevant information, services, and resources consistent with its mission and goals.

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

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

TPS must develop and implement strategies for outreach and promotion.

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

2.3 Program Structure and Framework

TPS must have clearly stated, current, relevant, and documented
- **goals and outcomes**
- **policies and procedures**
- **responsibilities and performance expectations for personnel**
- **organizational charts demonstrating clear channels of authority**

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

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 organizational structures, TPS must work in close consultation and collaboration with others with expertise and resources to meet the needs and interests of students and designated clients.

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

2.4 Program Design

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

TPS must provide tests, exams, assessments, and other services using formats that address and meet the 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.

PART 3. STUDENT LEARNING, DEVELOPMENT, AND SUCCESS

3.1 Program Contribution to Student Learning, Development, and Success

Testing Programs and Services (TPS) must contribute to students' formal education, which includes both curricular and co-curricular experiences.

TPS must contribute to students' progression and timely completion of educational goals.

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

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

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 must identify relevant and desirable student learning and development outcomes.

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 implement strategies and tactics to achieve these outcomes.

3.2 Student Learning and Development Domains and Dimensions

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

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

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

Domain: knowledge acquisition, integration, construction, and application

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

Domain: cognitive complexity

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

Domain: intrapersonal development

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

Domain: interpersonal competence

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

Domain: humanitarianism and civic engagement

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

Domain: practical competence

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

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

3.3 Assessment of Student Learning and Development

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

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

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

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

PART 4. ASSESSMENT

4.1 Establishing a Culture of Assessment

Testing Programs and Services (TPS) must develop assessment plans and processes that document progress toward achievement of mission, goals, outcomes, and objectives.

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.

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

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

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

4.2 Program Goals, Outcomes, and Objectives

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

TPS program outcome 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

Outcomes associated with TPS should reflect improved test delivery and performance as a result of TPS interventions.

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

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

4.3 Assessment Plan and Process

TPS must structure assessment initiatives using the steps of the assessment cycle:
- **set program goals, outcomes, and objectives**
- **develop and implement assessment plan**
- **review and interpret findings**
- **develop a plan for data use, continuous improvement, and reassessment**
- **implement an improvement plan**
- **review and monitor changes that have been made**

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

TPS must employ ethical practices in the assessment process.

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

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

4.4 Gathering Evidence

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

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

TPS must employ multiple methods and measures of data collection.

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

TPS must adhere to institutional policies related to data access and management.

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

TPS must ensure measures and methods are rigorous and reflect characteristics of validity, reliability, and trustworthiness.

4.5 Review and Interpret Findings

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

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

4.6 Reporting Results and Implementing Improvement

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

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

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

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 monitor improvements implemented based on assessment results.

TPS must apply results for future planning.

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

TPS should disseminate information about program outcomes to the institutional community.

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

PART 5. ACCESS, EQUITY, DIVERSITY, AND INCLUSION

5.1 Inclusive and Equitable Educational and Work Environments

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

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

5.2 Organizational Aspects of Access, Equity, Diversity, and Inclusion

TPS must provide equitable access to facilities and resources for all constituents.

TPS must provide reasonable and appropriate accommodations 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.

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

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

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

5.3 Advocating for Access, Equity, Diversity, and Inclusion

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

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

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

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

5.4 Implementing Access, Equity, Diversity, and Inclusion

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

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

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

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

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

Personnel within TPS must promote respect for commonalities and differences among people within their historical and cultural contexts.

When educational and/or workplace accommodations are requested, TPS must provide individuals with an interactive process to determine reasonable accommodations.

Guiding Principle: Organization, Leadership, and Human Resources

PART 6. LEADERSHIP, MANAGEMENT, AND SUPERVISION

6.1 Leadership

Testing Programs and Services (TPS) leaders must model ethical behavior and demonstrate alignment with institutional mission, goals, and ethical practices.

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

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

TPS leaders should
- advocate for representation on institutional committees relevant to program mission and goals
- 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
- communicate with professional colleagues in the testing field and related professions

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 must advance the functional area by
- **advocating for and actively promoting the functional area's mission and goals**
- **communicating with constituents about current issues affecting the profession**

- **identifying and addressing individual, organizational, and environmental conditions that foster or inhibit mission achievement**
- **facilitating discussion and decisions regarding program advancement**
- **advocating for representation in strategic planning processes at departmental, divisional, and institutional levels**

TPS leaders should
- be involved in research, publication, presentations, consultation, and activities of professional organizations
- 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

6.2 Management

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

6.3 Supervision

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

6.4 Strategic Planning

TPS leaders, managers, and supervisors must facilitate ongoing strategic planning processes that
- **facilitate continuous development, implementation, assessment, and evaluation of program effectiveness and goal attainment congruent with institutional mission and ongoing planning efforts**
- **support ongoing assessment activities that improve student learning, development, and success**
- **utilize philosophies, principles, and values that guide the work of the functional area**
- **promote environments that provide opportunities for student learning, development, and success**

- **develop, adapt, and improve programs and services in response to the needs of changing environments, populations served, and evolving institutional priorities**
- **engage many diverse constituents and perspectives from within and outside the unit to inform the development and implementation of the planning process**
- **result in a vision and mission that drive short- and long-term planning**
- **set goals and objectives based on the needs of the populations served, intended student learning and development outcomes, and program outcomes**

PART 7. HUMAN RESOURCES

7.1 Staffing and Support

Testing Programs and Services (TPS) must identify the level of staffing necessary to achieve its mission and goals.

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

TPS must have access to technical and support personnel to accomplish its 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.

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.

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.

TPS professional personnel must be competent and experienced in
- **test, exam, and assessment tool methodologies and professional standards and practices**
- **current practices related to test security, validity of the testing data, and the quality of the testing experience**
- **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

TPS leaders should demonstrate the ability to plan, prepare, and oversee budgets that sustain and advance the mission, goals, and objectives of the program

7.2 Employment Practices

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

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

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

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

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

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

7.3 Personnel Training and Development

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

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

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

TPS personnel must have access to resources and receive specific training on policies, procedures, and laws related to
- **the programs and services they support**
- **privacy and confidentiality**
- **student records and sensitive institutional information**
- **systems and technologies necessary to perform their assigned responsibilities**
- **sexual misconduct, harassment, and workplace violence**

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

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.

TPS personnel must be trained on how to recognize and address systems of oppression in the workplace and facilitate a welcoming, inclusive work environment.

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

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

7.4 Paraprofessional Personnel

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

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

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.

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.

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

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

PART 8. COLLABORATION AND COMMUNICATION

8.1 Collaboration

Testing Programs and Services (TPS) personnel must collaborate and consult with institutional leaders, faculty, individuals, and departments essential to the success of the program.

TPS should establish and maintain communication throughout the institution to promote the exchange of testing knowledge and expertise.

TPS should serve as a resource about institutional guidelines for members of academic and student affairs departments providing testing services.

TPS should collaborate with the institution's disability resources and services to access secure technology or resources to provide accommodated testing.

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

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

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

8.2 Communication

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

TPS must develop and implement strategies for outreach and promotion.

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

8.3 Procedures and Guidelines

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

Guiding Principle: Ethical Considerations

PART 9. ETHICS, LAW, AND POLICY

9.1 Ethical Statements

Testing Programs and Services (TPS) must review and adopt appropriate standards of ethical practice including those of applicable professional associations.

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

9.2 Ethical Practice

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

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

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

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

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

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

TPS must address issues surrounding scholarly integrity.

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.

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

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

9.3 Legal Obligations and Responsibilities

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

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

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

In accordance with governmental laws, institutional policy, and standards of good professional practice, TPS personnel who are concerned about students' well-being must ensure that they are referred to appropriate resources.

TPS must have a process for accessing legal advice needed for personnel to carry out their assigned responsibilities.

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

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

9.4 Policies and Procedures

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

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

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

9.5 Communication of Ethical and Legal Obligations

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

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

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

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

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

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

9.6 Addressing Harassment and Hostile Environments

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

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

PART 10. FINANCIAL RESOURCES

10.1 Funding

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

TPS must determine with administrative leadership what funding is necessary.

TPS may pursue opportunities for supplemental funding.

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.

10.2 Financial Planning

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

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.

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

10.3 Financial Management

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

TPS must demonstrate responsible stewardship and use of fiscal resources.

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

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

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

PART 11. TECHNOLOGY

11.1 Systems Management

Testing Programs and Services (TPS) must have current technology to support the achievement of its mission and goals.

TPS systems should be integrated with institutional systems.

TPS may use multiple hardware and software systems requiring technology support.

TPS should monitor systems during updates to ensure they do not impact student testing.

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

TPS may use specialized software or hardware for implementing disability services requiring specialty training for proctors.

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

TPS should have appropriate personnel available to assist in maintaining up-to-date systems for testing, record-keeping, and assessment.

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

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

11.2 User Engagement

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

TPS may limit access to unauthorized technology during test administration in order to enhance security and test integrity.

TPS must ensure that technology addresses constituent needs.

TPS must employ technologies that facilitate user interaction.

TPS must provide secure remote access.

11.3 Compliance and Information Security

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

TPS must comply with governmental codes and laws and with institutional technology policies and procedures.

TPS must provide a secure platform when conducting financial transactions, in accordance with industry best practices.

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

11.4 Communication

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

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

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

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

PART 12. FACILITIES AND INFRASTRUCTURE

12.1 Design of Facilities

Testing Programs and Services (TPS) facilities must be located in suitable spaces designed to support the functional area's mission and goals.

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

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

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

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

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

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

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 incorporate universal design principles.

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

12.2 Work Space

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

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

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

12.3 Equipment Acquisition

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

TPS must incorporate sustainable practices when purchasing equipment.

12.4 Facilities and Equipment Use

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

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

TPS must develop sustainable practices for facilities use.

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

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

General Standards revised in 2018;
TPS content developed in 2018.

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