

California Community Colleges Matriculation Program Handbook

September 2011



**Chancellor's Office
California Community Colleges
Student Services and Special Programs Division**

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California Community Colleges Chancellor's Office
Matriculation Program Handbook
2011-12

TABLE of CONTENTS

Chapter 1: Matriculation Program Overview		Page #
1.	Matriculation Program Background	1.1
a.	Legislation	1.1
b.	Funding History	1.1
c.	Matriculation Strategic Plan	1.2
d.	Vision Statement	1.2
e.	Mission	1.3
f.	Matriculation Program Components	1.3
g.	Student Success	1.3
h.	Institutional Effectiveness	1.3
i.	Matriculation Research Outcomes: <i>Matriculation Works!</i>	1.4
j.	Noncredit Matriculation	1.4
	• Designated Noncredit Courses	1.4
	• Noncredit Funding History	1.4
2.	Matriculation Organizational Structure	1.5
a.	Role of the Chancellor's Office	1.5
b.	Community College Regions and Regional Coordinators	1.5
c.	Local Program Director/Coordinator Responsibilities	1.6
d.	Matriculation Advisory Committee	1.6
e.	Statewide Assessment Workgroup	1.6
f.	Advisory Group on Counseling	1.7
g.	Advisory Group on Admissions	1.7
3.	Program Communications	1.7
a.	Matriculation Listserv	1.7
b.	Assessment Listserv	1.7
c.	Counseling Listserv	1.8
d.	Admissions Listserv	1.8
e.	Early Assessment Program Listserv	1.8
4.	Resources	1.9
Chapter 2: Matriculation Program Components		
1.	Matriculation Process	2.1
	• Sample Student Matriculation Process	2.2
a.	Admissions	2.3
	• Admissions Resources	2.3
b.	Assessment	2.4
	• Matriculation Course Placement Assessment	2.4
	• Multiple Measures	2.4
	• Placement Test Validation Process	2.5
	• Assessment Terminology	2.6
	• Assessment Resources	2.7
	• Early Assessment Program	2.7

c.	Orientation	2.8
•	Orientation Resources	2.9
d.	Counseling	2.10
•	Counseling and Advising Services	2.11
•	Minimum Qualifications for Counselors	2.12
•	Student Education Plan	2.12
•	Advantages of Using a Student Educational Plan	2.13
•	How should the Student Educational Plan be Developed?	2.13
○	The program-specific approach	2.14
○	The campus-wide approach	2.14
○	Student Education Plan information	2.14
○	When Should the Student Education Plan be updated?	2.15
•	Counseling Resources	2.16
e.	Student Follow-Up	2.16
f.	Coordination and Training	2.17
g.	Research	2.18
•	Research Resources	2.19
h.	Prerequisites	2.19
•	Model District Policy	2.20
•	Prerequisites and Monitoring Disproportionate Impact through College Student Equity Plans	2.20
•	Resources for Prerequisites	2.20

Chapter 3: Matriculation Reporting Requirements & Program Accountability

1.	Matriculation Reporting Requirements	3.1
2.	Matriculation Reporting Timeframes	3.2
3.	Matriculation Plan	3.2
•	Matriculation Plan Components	3.3
4.	Fiscal Reports	3.4
a.	Mid-Year Report (Declaration of Unused Funds)	3.4
•	Matriculation Re-allocation of Funds Policy	3.5
b.	Year-End Expenditure Report	3.6
5.	Matriculation Standards and Program Accountability	3.6
a.	Audits	3.14
b.	Contracted District Audit Manual Section on Matriculation	3.14
6.	Records Retention	3.16
7.	Confidentiality	3.17
a.	Directory Information	3.17
b.	College Official with Legitimate Educational Interest	3.18
c.	State Law on Student Confidentiality	3.18
8.	MIS Data Collection	3.19
9.	Student Equity	3.28

Chapter 4: Matriculation Funding Guidelines

1. Matriculation Funding	4.1
2. Matriculation Allocation Process	4.1
3. Credit Matriculation Formula	4.2
4. Noncredit Matriculation Formula	4.2
5. Apportionment Process	4.3
6. Posting of Allocation Notices	4.3
7. Allowable use of Funds	4.3
8. Expenditures not Allowed	4.4
9. Beverages and Food	4.4
10. Encumbrances	4.4
11. Allowable and Unallowable Fees for Matriculation-Related Services	4.4
12. Categorical Flexibility	4.6
a. Categorical Budget Cuts-Assembly Bill X41	4.6
b. Frequently Asked Questions on Categorical Flexibility and Matriculation	4.8

APPENDICES

-
- A California Community Colleges Matriculation Statute and Regulations: Revised September 2011
-
- B California Community College Chancellor's Office
List of Colleges by Region & Regional Representative Contact Information
-
- C Matriculation Advisory Committee Membership
(includes regional representatives)
-
- D California Community Colleges Chancellor's Office
Matriculation Advisory Committee Charter
-
- E California Community College's Office Advisory Group on
Counseling Charter
-
- F Multiple Measures and Other Sorrows:
A Guide for Using Student Assessment
-
- G Standards, Policies and Procedures for the Evaluation of
Assessment Instruments used in the California Community
Colleges (4th Edition, Revised March 2001)
-
- H Assessment Q & A
Questions and Answers on Assessment of use in the
California Community Colleges (March 2005)
-
- I California Community College Chancellor's Office Legal
Opinion O 00-36 -Mandating Orientation
-
- J The Model District Policy on Prerequisites, Corerequisites,
and Advisories on Recommended Preparation
(September 1993)
-
- K Matriculation Program Calendar of Events 2011-12
-

CHAPTER 1

MATRICULATION PROGRAM OVERVIEW

Matriculation Program Background

Matriculation is a process that enhances student access to the California Community Colleges (CCC) and supports students to be successful in their educational endeavors. The purpose of matriculation is to ensure that all students complete their college courses, persist to the next academic term, and achieve their educational objective(s) in a timely manner. Matriculation services are available to all students, unlike other specially funded categorical programs with eligibility requirements that target specific student groups.

The matriculation process is intended to provide a comprehensive and integrated delivery of services for all students to increase retention and persistence and to provide students with a foundation to support their success in college. Matriculation provides and coordinates basic services, including admissions and orientation, general assessment, counseling and advisement, and follow-up assistance. Title 5 section 55532 provides districts with the authority to establish local policies that would exempt certain groups of students from core matriculation services. Student groups exempted from matriculation services can include students who have already completed an Associate of Arts or Science (AA or AS) or higher degree.

Matriculation is a process that enhances student access to the California Community Colleges and promotes and sustains the efforts of students to be successful in their educational endeavors.

Legislation

In 1986, the California Legislature passed Assembly Bill 3 (AB 3), the Seymour-Campbell Matriculation Act (Appendix A), establishing the matriculation process in the California Community Colleges for students taking credit courses. With the passage of AB 1542 and AB 107 in 1997/98, matriculation was extended to students taking noncredit courses. In 1990, the Board of Governors adopted formal regulations (Appendix A) that delineate specific procedures, activities, and prohibited practices related to the implementation of the matriculation process. These regulations are contained in title 5 of the California Code of Regulations.

Funding History

Since the inception of matriculation, funding is at the discretion of the state legislature and Governor. State fiscal support for matriculation began in the 1987/88 academic year with a budget of \$20 million. Though the premise of matriculation was well received, it was only partially funded from the very beginning and was significantly cut twice in 2002/03 and 2009/10. In 2002/03, funds were reduced from \$76.29 million to \$47.29 million, representing a 38%

reduction in funds. Funding increased gradually since that time, peaking in 2007/08 to \$101.8 million, but due to the ongoing state budget crisis, in 2009/10 funding was again reduced by 52% to \$49.18 million, of which \$9.38 million was dedicated to the provision of noncredit matriculation services. To potentially mitigate the impact of the budget cuts to matriculation, the Legislature included a flexibility provision for specific categorical programs, including matriculation, that colleges could elect to trigger that would relieve them of various program requirements. Additional detail on categorical flexibility is provided in Chapter 4. The current 2011/12 statewide budget for matriculation is \$49.18 million, of which \$9.38 million is dedicated to the provision of matriculation services for noncredit students. Additional detail on matriculation funding requirements and allocations can be found in Chapter 4.

Matriculation Strategic Plan

As a result of the budget cuts to the Matriculation Program in 2008/09 the CCC Chancellor's Office (CCCCO) initiated a matriculation strategic planning process during the summer of 2010 in order to create a new vision, mission, and objectives for the Matriculation Program. The goal of the strategic planning process was to map the future direction and goals of the program through 2015. As part of the strategic planning process, the CCCCCO conducted an online survey in July of 2010 of matriculation stakeholders statewide to solicit input. The following six goals were identified during this strategic planning process:

1. Identify the core matriculation services that promote student success and completion based on California Community College student characteristics and needs.
2. Evaluate and identify strategies for the delivery of effective core matriculation services that promote student success and completion.
3. Strengthen Matriculation Program accountability in support of institutional and student outcomes.
4. Provide ongoing training and support to community college administrators and staff involved in the delivery of matriculation services on effective practices and strategies.
5. Support the development of a statewide common assessment for California Community Colleges for English, math, and ESL.
6. Define, clearly communicate, and consistently implement the Matriculation Program.

Vision Statement

The Matriculation Program is an exemplary student services model with an emphasis on at-risk and underrepresented students using evidence-based, innovative approaches that promote student access and success. Matriculation integrates student and instructional services to promote institutional responsibility and accountability for student success.

Mission

The mission of the Matriculation Program is to increase community college student access and success by providing effective core services, including orientation, assessment and placement, counseling, academic advising, and early intervention. The program focuses primarily on entering students' transition into college to provide a foundation for student achievement. Matriculation ensures student equity in assessment, student services, and access to college resources and provides a foundation for students to achieve their educational goals.

Matriculation Program Components

The matriculation process consists of eight core components, all of which are described in Chapter 2 of this handbook. Six of these provide direct services to students, and two improve institutional effectiveness and accountability by enhancing colleges' abilities to conduct evaluation, coordination, and training. These components include: (1) Admissions, (2) Assessment, (3) Orientation, (4) Counseling and Advising, (5) Student Follow-Up, (6) Coordination and Training, (7) Research and Evaluation, and (8) Prerequisites, Corerequisites and Advisories. The two primary goals of matriculation are enhanced student success and institutional effectiveness.

The purpose of matriculation is to ensure that all students complete their courses, persist to the next academic term, and achieve their educational objective(s) in a timely manner.

Student Success

Student success requires that colleges assist students to make their course placement and other educational choices through professional advice, emphasizing the use of multiple assessment measures and targeted support services. This is a commitment to the colleges' interaction with students to strengthen student motivation, provide regular feedback concerning academic progress, and to guide students in refining and persisting in meeting their educational goals based on the instructional and student support services available at the institution.

Matriculation provides students with information and assistance to define realistic educational goals that are consistent with district and college academic programs and student services; and provides colleges with information and resources to tailor services and programs to meet students' needs.

Institutional Effectiveness

Institutional effectiveness is characterized by the proficient use of the institutions' resources as they are applied toward meeting the educational needs of students and committing additional resources as necessary. The various components of the matriculation process assist the college with identifying and addressing student goals and needs. Institutional effectiveness is improved through the partnership of student services, instruction, and institutional research.

Matriculation Research Outcomes: Matriculation Works!

Matriculation leads to student success. Two studies completed in 2007/08 using statewide management information system (MIS) data investigated the effect of matriculation services on several outcomes among first-time college students in their first semester. The number of degree-applicable units earned, units attempted, and grade-point average (GPA) were positively impacted by the matriculation services of orientation, assessment, and counseling and the development of a student education plan (SEP). A study conducted by Riverside Community College (RCC) demonstrated similar results. Analysis of the data in the RCC study showed that the interaction of orientation, assessment, and counseling have a significant effect on student persistence.

A study of the effect of matriculation services (assessment, orientation, counseling and development of student education plans) among first-time college students showed that matriculation services had a positive impact on a student success in the first semester of college. - *Martinez, Riverside Community College District*

Noncredit Matriculation

Under the provisions of AB 3, matriculation services were not extended to students enrolled in noncredit courses. However, during the 1997/98 legislative session considerable discussion occurred concerning both present and future matriculation services for students enrolled in noncredit classes, courses and programs. Much of this discussion ensued through the 18-member bipartisan Committee on Welfare Reform for California. New legislation and budget language extended the provision of matriculation services to students enrolled in designated noncredit classes, courses and programs. Assembly Bill 107 stated that matriculation services include but, “not be limited to, orientation, assessment, and counseling for students enrolled in designated noncredit classes and programs who benefit most, as determined by the Chancellor of the California Community Colleges.”

Designated Noncredit Courses

The following are the designated noncredit courses that for which matriculation services may be provided:

- Elementary and Secondary Basic Skills;
- English as a Second Language (ESL);
- Disabled/Adults with Disabilities;
- Citizenship/Immigrant;
- Parenting; and,
- Short-Term Vocational Education.

Noncredit Funding History

In 1997/98, a \$10 million appropriation was made to support noncredit matriculation. In addition, subsequent Budget Act language required that 15.4% of the annual credit matriculation allocation be used to fund the noncredit matriculation program. In 2009/10, budget reductions to the matriculation program and State Budget Act trailer bill language froze noncredit funding levels at \$10 million. Colleges are not required to operate noncredit Matriculation Programs and, as of 2010/11, 57 out of 72 districts were funded to provide noncredit matriculation services. Due to funding requirements established in the 2009/10 budget language, allocation of noncredit matriculation funds are based on those colleges that had noncredit matriculation programs in place as of 2008/09; each college is provided its proportionate share of the \$10 million based on 2008/09 funding levels. A description of the noncredit matriculation allocation formula adopted by the Board of Governors is provided in Chapter 4.

Matriculation Organizational Structure

Role of the Chancellor's Office

The Chancellor's Office of the California Community Colleges provides leadership, coordination, and administrative and fiscal oversight of the community college Matriculation Program and is responsible for overseeing the allocating of funds to the colleges, assessment validation, and special grant projects and contracts. The Chancellor's Office also provides technical assistance to the community colleges and promulgates policies and guidelines that are consistent with the Education Code and Budget Act language that govern the program. Staff provides additional technical assistance through regional meetings, special workshops and presentations, and through conference participation. Ongoing technical assistance is that of the annual orientation and training for new coordinators, which takes place in September of every year. During the orientation, new matriculation coordinators are provided a review of title 5 requirements, discuss program-specific issues and concerns, and meet with experienced peers. The Chancellor's Office is also responsible for ensuring that colleges submit program and fiscal reports on a timely basis, and in turn, is responsible for compiling this information and reporting it to the Legislature, Department of Finance, Governor's Office, and the Legislative Analyst's Office.

Community College Regions and Regional Coordinators

California's community colleges are divided into ten regions and the colleges in each region select a regional representative from among its Matriculation Directors/Coordinators, who then represents those colleges on the California Community Colleges Matriculation Advisory Committee (MAC) and facilitates the sharing of information between the Chancellor's Office and the colleges. Appendix B provides a list of the ten regions and the Chancellor's Office lead for that region. Appendix C provides a list of the regional representatives throughout the state. In addition, when the Chancellor's Office drafts policies and processes, or requires feedback on

other programmatic issues, the regional representative acts as a conduit to collect input from the colleges within their region. The regional representatives also help facilitate the sharing of information and best practices with the colleges within their region. The Chancellor's Office recommends that the colleges meet within their region at least once each quarter, or more frequently if they are able to do so.

Local Program Director/Coordinator Responsibilities

The Matriculation Program Director/Coordinator is responsible for ensuring that all of the matriculation components are effectively carried out. The title of this position may vary at each college. The individual serving in this capacity may do so on a full-time or part-time basis, depending on the size of the population being served and other institutional variables. However, at a minimum, the Matriculation Coordinator is responsible for program oversight and ensuring implementation and compliance with state reporting requirements. Matriculation Coordinators also facilitate local and regional collaboration, such as attending regional meetings, and representing matriculation interests on their college and district advisory bodies (comprised of widespread college community representatives). The majority of Matriculation Coordinators/Directors are funded through the districts' state matriculation allocation (see Chapter 4 for allocation details). This person is the primary contact between the Chancellor's Office and the college and is responsible for all aspects of the daily operation of the program including, but not limited to, overseeing program fund expenditures.

Matriculation Advisory Committee

Referred to as the MAC, the Matriculation Advisory Committee is comprised of 18 appointed members, which represent six consultation groups within the community college governance system such as the statewide Academic Senate, Chief Student Services Officers, Chief Instructional Officers, Chief Executive Officers, and assessment and counseling organizations. Twelve regionally-elected matriculation coordinators (regional representatives) representing credit and noncredit programs also serve on this vital committee. Members are appointed by their region to two-year terms and serve in an advisory capacity to the Chancellor's Office. The MAC is co-chaired by a committee member and the Chancellor's Office (see Appendix D for the MAC charter) and meets at least quarterly.

MAC members, particularly the regional representatives, are instrumental in providing policy and programmatic advice to the Chancellor's Office and are an essential link between the Chancellor's Office and the community college regions. It is the responsibility of the regional and representatives to ensure that recommendations affecting policy and implementation of Matriculation components and processes are communicated to their local constituents in the colleges. MAC members are required to attend up to three MAC meetings a year.

Statewide Assessment Workgroup

The Statewide Assessment Work Group is a sub-committee of the MAC and is comprised of college assessment and research professionals. Members of this work group advise the

Chancellor's Office on statewide assessment issues, and conduct the biannual review of assessment instruments submitted by the colleges for Chancellor's Office approval. Membership is by appointment, and representation is reflective of constituent groups within the community college governance structure.

Advisory Group on Counseling

The Chancellor's Office sponsors the Advisory Group on Counseling and the charter document for this group is contained in Appendix E. Comprised of counselors and counseling administrators, the charge of the group is to keep the Chancellor's Office informed of counseling issues and concerns that affect the implementation of the counseling and advisement components of matriculation. Further, this group serves as the forum by which counseling faculty may share their views and unique perspectives on the provision of counseling, advisement, guidance, academic and vocational planning, course and career placement, and prerequisite recommendations.

To subscribe to the Matriculation listserv:

-Send an e-mail message to listserv@listserv.cccnext.net.

-Do not put any words in the subject area. In the body of the email message write the following:

SUBSCRIBE CCC-MATRIC

-No subject or signatures!

Advisory Group on Admissions

The Chancellor's Office has recently solicited the help of the Executive Board of the California Association of Community College Registrars and Admissions Officers (CACCRAO) to act as a conduit between the college admission offices and the Chancellor's Office, and to discuss various admission topics and issues. Input from the CACCRAO Executive Board has helped to inform statewide policy on a myriad of issues, including credit course repeats and withdrawals and priority registration. Other topics include document imaging and records retention, catalogs rights, concurrent enrollment, residency, AB 540, veterans, transfer, fees, visas, academic renewal, transcripts, refunds, and subpoenas.

Program Communications

Updates and information relating to the Matriculation Program are published on the matriculation listserv. To subscribe to this listserv follow the instructions below. Instructions for other matriculation-related listservs are provided.

Matriculation Listserv:

To subscribe to the Matriculation listserv:

1. Send an e-mail message to listserv@listserv.cccnext.net.
2. Do not put any words in the subject area.
3. Put **SUBSCRIBE CCC-MATRIC** in the body of a BLANK, NON-HTML e-mail.
4. **NO SUBJECT OR SIGNATURES, PLEASE!**
5. Follow the simple instructions in the confirmation email to finish the subscription process. The confirmation process is used to reduce fraudulent use of listserv.

6. You will receive confirmation by return e-mail.
7. For technical support, contact CCC-MATRIC-request@LISTSERV.CCCNEXT.NET.

Assessment Listserv:

To subscribe to the Assessment listserv:

1. Send an e-mail to Listserv@Listserv.cccnext.net
2. In the body of the e-mail, type: subscribe ccaa
3. Use no subject or signatures. A confirmation note will be sent immediately.
4. Direct questions concerning this listserv to Mark Samuels: msamuels@swccd.edu, 619-482-6507.

Counseling Listserv:

To subscribe to the CCC-Counseling listserv:

1. Send an e-mail to LISTSERV@LISTSERV.CCCNEXT.NET from the email account you want subscribed.
2. In the body of the e-mail message write SUBSCRIBE CCC-COUNSELORS. No subjects or signatures, please.
3. The LISTSERV will return a confirmation message to the subscribing address.
4. To send an email to the list: CCC-COUNSELORS@LISTSERV.CCCNEXT.NET
5. To contact the list owner: CCC-COUNSELORS-request@LISTSERV.CCCNEXT.NET

To unsubscribe from the list:

1. CCC-COUNSELORS-signoff-request@LISTSERV.CCCNEXT.NET

Admissions Listserv:

To subscribe to the Admissions listserv please contact <http://www.CACCRAO.org>.

Early Assessment Program Listserv:

To subscribe to the EAP listserv:

1. Send an email to: LISTSERV@LISTSERV.CCCNEXT.NET .
2. Leave the subject area blank.
3. In the body of the message type SUBSCRIBE CCC-EAP Mary Smith. Substitute your first and last names in place of "Mary Smith".
4. Do not include a signature or any other information.
5. All new subscription requests are responded to with a confirmation email to the subscribed address.

Resources:

- Chancellor's Office Matriculation Program website:
<http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/Matriculation/tabid/619/Default.aspx>
- California Education Code: <http://www.leginfo.ca.gov/cgi-bin/calawquery?codesection=edc>
- Link to title 5:
<http://government.westlaw.com/linkedslice/default.asp?Action=TOC&RS=GVT1.0&VR=2.0&SP=CCR-1000>

CHAPTER 2

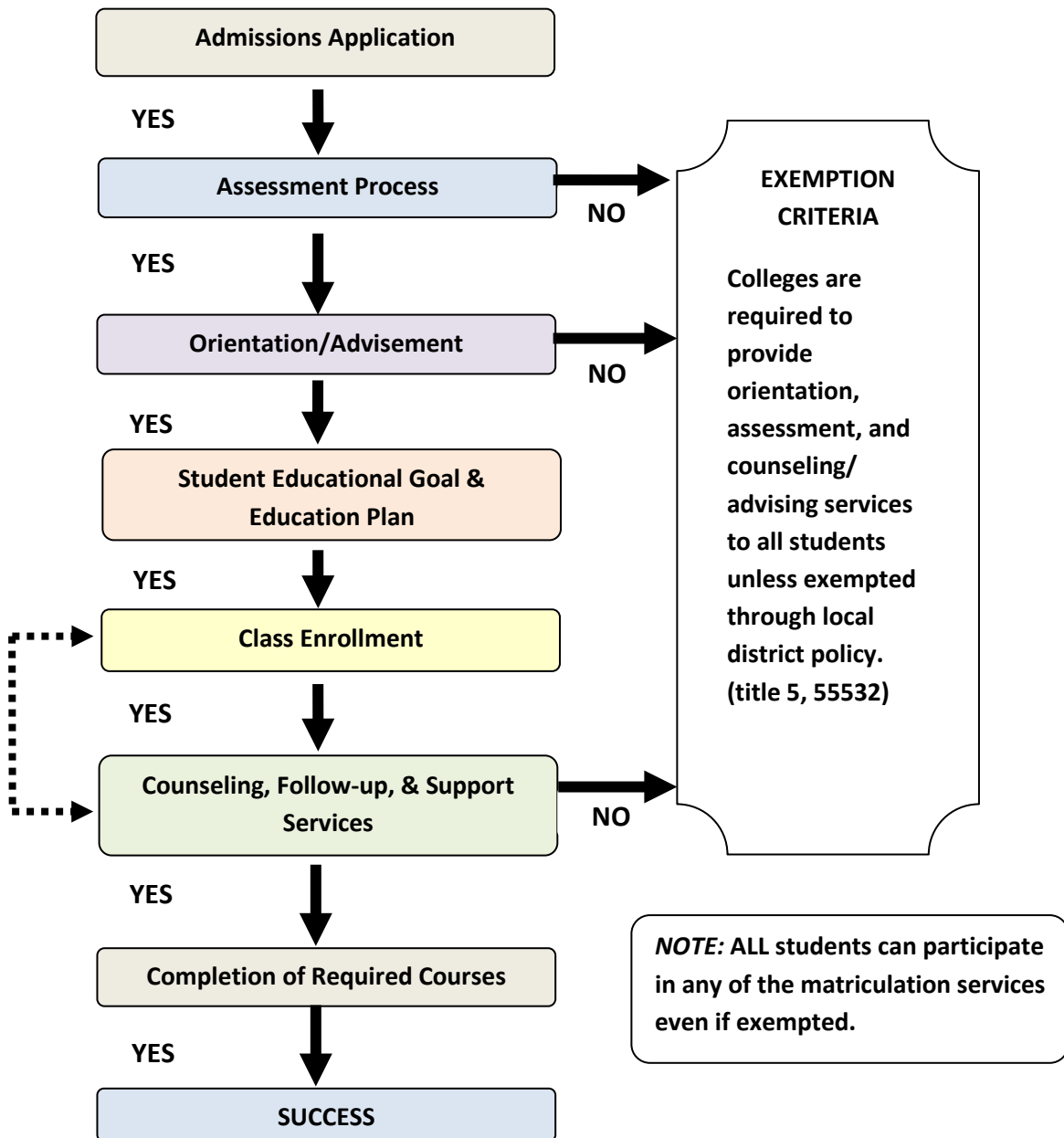
MATRICULATION PROGRAM COMPONENTS

Matriculation Process

The Education Code defines matriculation as an agreement between the student and the college [section 78212(a)] for the purpose of realizing a student's educational objective. The matriculation process is intended to assure all students' access to higher education opportunities. Matriculation services are provided through all its components by dedicated staff that are supported by state matriculation and college general fund dollars. This section of the handbook describes the eight matriculation components. Figure 1, adapted from Palomar College, provides one example of how direct matriculation student services are integrated to provide a continuous path of support for a student to reach his/her goal(s). This flow of matriculation services varies by college. For detail on the elements of each matriculation component that a college is required to implement, please refer to the Matriculation Standards section in Chapter 3.

Education Code 78212: "matriculation" means a process that brings a college and a student who enrolls for credit into an agreement for the purpose of realizing the student's educational objectives. The agreement involves the responsibilities of both parties to attain those objectives through the college's established programs, policies, and requirements...The student's responsibilities under the agreement include the expression of at least a broad educational intent upon enrollment, the declaration of a specific educational objective within a reasonable period after enrollment, diligence in class attendance and completion of assigned coursework, and the completion of courses and maintenance of progress toward an educational goal according to standards established by the college, the district, and the state.

Figure 1: SAMPLE STUDENT MATRICULATION PROCESS



Admissions

The purpose of the admissions component is for colleges and districts to ensure that access to the community college is provided to students by a comprehensive application process designed to identify needs, abilities and accomplishments.

Title 5 section 55520(a) states that colleges are to provide a procedure for the processing of admission applications; section 55510(a) requires colleges to utilize computerized information services to implement or support admissions services, while section 55522 requires colleges to provide modified or alternative services for the matriculation process (if necessary) for ethnic and language minority students and students with disabilities.

Admissions is the first point of entry for many students in the California community college system. The activities in this component can include:

- Multilingual admissions staff and materials when available are provided to address the enrollment needs of the increasing numbers of students who come to community colleges with cultural and language backgrounds other than English;
- Enrollment data that are used to identify student groups by age, ethnicity, and gender are captured on admissions applications and reported to the Management Information Services in the Chancellor's Office annually;
- Counselors are available during peak registration times providing information on the selection of goals, available supportive services, and academic and vocational majors;
- Computers with online access are strategically placed on campuses to enhance the students' access to community college information;
- Scanners and computers are readily available to staff and counselors to assist their evaluation of enrollment applications and transcripts; and
- Student ambassadors and peer advisors provide registration assistance in English and other languages;
- Use of technology to provide assessable and efficient admission services and information.

Admissions Resources

- CCC Apply - <http://www.cccapply.org/>
- eTranscript California - <http://etranscriptca.org/>
- California Association of Community College Registrars and Admissions Officers - <http://www.caccrao.org/>

Assessment

Assessment is a holistic process through which each college collects information about students in an effort to facilitate their success by ensuring their appropriate placement into the curriculum.

Title 5 section 55520 requires districts to provide assessment for nonexempt students pursuant to section 55532. Students' math and English/ESL course placements must be based on multiple criteria that form a holistic "portrait" of each student, including math and English skills, study skills, learning skills, aptitudes, goals, educational background/performance, and the need for special services. Multiple measures ensure that no single test score or assessment measure is used to place students into courses. Course placement on the basis of a test score by itself is prohibited [title 5, section 55521(a)(3)] because a test score alone is not as informative and valid for placement purposes as when applying it with another measure.

Matriculation Course Placement Assessment:

- Provides consistent statewide standards for fair and valid evaluation of student math and English/ESL skills through the use of multiple measures;
- Provides standards for the evaluation of test validity, reliability, bias, and disproportionate impact that must be met to secure the required CCCCCO approval of any test to be used in college course placement processes;
- Facilitates the development of the Student Educational Plan;
- Is available to exempted as well as non-exempted students (title 5 section 55532 states that exemptions from the Assessment component may not be based on a single criterion.);
- Must be made available to students requiring modified or alternative assessment procedures;
- Provides colleges the ability to adopt an assessment instrument that has received CCCCCO approval through the "critical mass" test validation process;

Multiple Measures

An important element of matriculation assessment is the multiple measures requirement. Multiple measures are a diverse battery of procedures and methods for gaining information about individuals or groups of students. These procedures may or may not include standardized testing. While a carefully selected, valid, reliable and unbiased test instrument certainly provides important information regarding basic skills needs, the objectives of matriculation legislation and the clarifying regulations of title 5 endeavor to effect a more complete description of the student than does testing alone. Indeed, AB 3 and title 5 require the use of multiple pieces of information for placement purposes:

"In implementing matriculation services, community college districts shall not...use any single instrument, method, or procedure, by itself, for placement, required referral to appropriate services, or subsequent evaluation of any student..." [Title 5, Section 55521(a)(3)].

The multiple measures that are utilized to assist in the placement process are used to supplement the test score in useful and valuable ways. For example, students who have gained skills through employment or past academic experiences may have these taken into consideration prior to placement. Interviews, needs for special services, transcripts, aptitudes, computational skills, goals, career aspirations, study skills, work schedules may, as appropriate, be considered when placement decisions are made.

Matriculation assessment should provide a holistic profile of student strengths and weaknesses based on a variety of informational sources (*multiple measures*). Additional information on multiple measures can be found in Appendix F.

Placement Test Validation Process

Assessment instruments used as part of the matriculation assessment process must be evaluated on a regular basis to ensure that instruments used for course placement have met established criteria for validity and reliability, and have been reviewed for cultural/linguistic insensitivity and bias, as well as disproportionate impact. The CCCCCO Assessment Workgroup described in Chapter 1 of this handbook reviews submitted materials twice per year and determines the level of approval for the instrument in one of the following categories:

Levels of Approval for Assessments	
Probationary	Effective for two years from date of approval
Provisional	Effective for one year from date of approval
Full Approval	Effective for six years from the date any approval status is attained; Full approval status must be renewed every 6 years.

The March 2001 CCC Assessment Standards document (provided in Appendix G) describes the studies which must be completed, documented, and submitted to the CCCCCO in order for a college to receive approval for use of a locally-developed or managed instrument or a second-party published instrument. For example, content-related validity evidence addresses the extent to which course prerequisite knowledge and skills are measured by the test for all courses into which the test is being used to place students. Additionally, colleges are required to validate the test's cut scores to ensure that they are appropriate for the placement of students into the college's particular curriculum.

Section 55524 of the Title 5 requires the Chancellor's Office to establish a list of instruments approved for use in the California Community Colleges. The list of approved instruments is published on the Chancellor's Office's Matriculation Program webpage at <http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/Matriculation/tabid/619/Default.aspx>. The list is updated at the end of each test review period, January/February and June/July of each year.

Due to the 2009/10 budget cuts and the resulting categorical flexibility exercised by many districts, the CCCC test approval process has been temporarily suspended. In the future, the CCCC expects to reconvene the Assessment Workgroup to resume the evaluation of assessment instruments. The CCCC will issue updated instructions on the assessment approval process through the matriculation and assessment listservs.

Note: *While categorical flexibility has temporarily suspended the requirement that colleges validate assessments (for those colleges that have triggered the provision), accreditation standards still require the validation of assessments. The Accrediting Commission for Community and Junior Colleges, Western Association of Schools and Colleges includes a standard on the validation of placement instruments and practices. Specifically, Standard II, Student Learning Programs and Services states, “The institution regularly evaluates admissions and placement instruments and practices to validate their effectiveness while minimizing biases.”*

Assessment Terminology

Disproportionate impact is defined in Section 55502(d) of the title 5 regulations:

“disproportionate impact occurs when the percentage of persons from a particular racial, ethnic, gender, age or disability group who are directed to a particular service or placement based on an assessment instrument, method or procedure is significantly different than the representation of that group in the population of persons being assessed and that discrepancy is not justified by empirical evidence demonstrating that the assessment instrument, method or procedure is a valid and reliable predictor of performance in the relevant educational setting.”

The regulations require evaluation and documentation of possible disproportionate impact. Districts shall determine whether any assessment instrument, method or procedure has a disproportionate impact on particular groups of students described in terms of ethnicity, gender, age or disability, as defined by the Chancellor. When there is a disproportionate impact on any such group of students, the district shall, in consultation with the Chancellor, develop and implement a plan setting forth the steps the district will take to correct the disproportionate impact.”[title 5 Section 55512(a)]

Validity speaks to the appropriateness of the action that can be taken based on the test score. Is the interpretation and intended use(s) of the test score supported by evidence that shows that the score has value in predicting the potential success of a student in reading, writing or mathematics courses or programs?

Reliability refers to the consistency of the measurement, or the degree to which an instrument produces similar results each time it is used under the same conditions with the same subjects.

Bias refers to any cultural or linguistic partiality, insensitivity, or offensiveness in test content that could negatively impact specific student groups.

Assessment is guided by title 5 sections 55502 (definition), 55520 (Required Services), 55521 (prohibited practices), section 55524 (assessment), and section 55532 (exemptions).

Assessment Resources:

- 1) Assessment Questions and Answers (2005)
<http://www.cccco.edu/LinkClick.aspx?fileticket=qLFSNlpn5Ls%3d&tabid=628&mid=1718>;
This document can also be found as appendix H.
- 2) Multiple Measures and Other Sorrows
<http://www.cccco.edu/LinkClick.aspx?fileticket=Ye5cJyiAySA%3d&tabid=628&mid=1718>
This document can also be as appendix F.
- 3) Assessment Validation Project: Local Research Projects Option (February 1991)
<http://www.cccco.edu/LinkClick.aspx?fileticket=K6JeDjczVN0%3d&tabid=628&mid=1715>
- 4) The California Community College Assessment Association
<http://www.cccaa.net>
Listserv: contact Mark Samuels at msamuels@swccd.edu

Early Assessment Program (EAP)

Implemented in 2004 by the California State University (CSU), the California Department of Education (CDE), and the State Board of Education, the purpose of the EAP is to determine a high school student's readiness to do college-level work in English language arts and math and to provide students opportunities to improve skills during their senior year. The EAP is based on the 11th grade California Standards Test (CST) for English and math. The EAP augments the 11th grade CST by having high school juniors take an additional fifteen multiple-choice questions on both the math and English CST, as well as writing a separate essay, to determine their readiness for college level-work.

On September 28, 2008, Governor Schwarzenegger signed Senate Bill 946 (Scott) enabling California's community college system to implement EAP. This bill enables community colleges to work with their local high schools and CSU, through the EAP, to address the high number of students who are unprepared for college-level course work. The Education Code was amended to authorize California community colleges to use student EAP test results for placement. Section 99301 states,

- “ (a) Notwithstanding subdivision (a) of Section 78213, the individual results of the California Standards Test (CST) and the augmented CST, as referenced in Section 60641, in addition to any other purposes may be used by community college districts to provide diagnostic advice to, or for the placement of, prospective community college students participating in the EAP.
- (b) (1) As authorized pursuant to subparagraph (B) of paragraph (3) of subdivision (a) of Section 60641, the individual results of the CST and the augmented CST, as referenced in Section 60641, shall be provided to the office of the Chancellor of the California Community Colleges.”

In a manner similar to CSU, effective January 1, 2009, California community colleges can accept EAP test results for students demonstrating proficiency on this test in English and/or math as a waiver to the college's assessment process and to place them into college-level courses. Participating community colleges are also authorized to access student EAP test results.

For information on how your college can participate in the EAP and access student EAP data, go to:

<http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/EarlyAssessmentProgram/tabid/1610/Default.aspx>

For a list of community colleges accepting EAP test results, go to:

<http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/EarlyAssessmentProgram/CommunityCollegeEAPParticipants/tabid/1746/Default.aspx>

Orientation

The purpose of orientation is to provide students with information including, but not limited to, the college's programs, services, facilities, grounds, academic expectations, and institutional procedures.

While many colleges provided an orientation session for incoming students prior to the advent of matriculation, it has been due to the regulatory requirements of this component that a consistent definition has been applied to orientation, assuring that students in all community colleges are provided an overview of the college programs, services, facilities and grounds, academic expectations, and institutional procedures.

Orientation is more than an exposure to the services and physical plant of the colleges, it is a service, an interaction with counselors and advisors that “puts a face” to the institution and a sharing of resources intended to provide a blueprint for student success. Orientation strategies include:

- Presentations by instructional and counseling faculty to lead students through the often complex procedures of choosing majors and a career path;
- Assessment personnel being available during orientation to discuss the utility of testing and multifactor assessment in relation to placement into the curriculum;
- Outreach personnel visiting high schools to provide students with an interest in attending community colleges, information on choosing careers and the availability of support services following enrollment. Applications and assessments may also be provided during outreach;
- Student assistants providing campus tours and answering questions about available services and facilities. For those campuses that offer dormitory residences, the tours may include meeting with the dorm directors and touring the living quarters; and,
- Orientations are available in different modes. In addition to the “arena” meetings with students, extended orientation courses are available for credit at many colleges, as are

interactive online orientation and video presentations utilized at remote satellite campuses for distance learning students.

Orientation is a necessary student experience. It provides the guidelines for student success by recognizing that the academic environment can be perceived as an intimidating one by some students and college expectations can appear insurmountable to a student who has not been given an explanation of how the college operates to facilitate student success, not to discourage it.

Title 5, section 55502(h) defines “orientation” as a component of matriculation and section 55520 specifies requirements for the provision of orientation:

55502(h) ““Orientation” is a process which acquaints students and potential students with college programs, services, facilities and grounds, academic expectations, and institutional procedures.”

55520(b), Required Services, “At a minimum, each community college district shall provide students, except as exempted pursuant to section 55532, with all of the following matriculation services...orientation and pre-orientation services designed to provide nonexempt students and potential students, on a timely basis, information concerning college procedures and course scheduling, academic expectations, financial assistance, and any other matters the college or district finds appropriate”

Orientation is guided by Education Code sections 78212(b)(2) and title 5 sections 55502, 55520, 55522, 55530, 55532, 55534 and 58106.

Orientation Resources:

1. CCCC legal opinion O 00-36 on making orientation a mandatory matriculation service is included in appendix I.

Checklist of the required elements colleges need to include or address in their student orientations:

- ☐ Provide students and potential students with information concerning college programs, services, financial assistance, facilities and grounds, academic expectations, course scheduling and institutional procedures in a timely manner.
- ☐ Provide written definitions informing students of their rights and responsibilities.
- ☐ Promptly inform students of their right to challenge (on specified grounds) pre- or co-requisite or limitation on enrollment; their responsibility to show the grounds that exist for the challenge; and their right to file a complaint of unlawful discrimination.
- ☐ Inform students of procedure for alleging unlawful discrimination in the implementation of matriculation practices.
- ☐ Provide students with, or direct them to, written district procedures for: challenging matriculation regulatory provisions; district investigation and attempted resolution of complaints; and methods by which district maintains such complaints.
- ☐ Provide modified or alternative services for the matriculation process (if necessary) for ethnic and language minority students and students with disabilities.
- ☐ Adopt district governing board policies specifying criteria for exemption from matriculation services.
- ☐ Make exempted students aware that they may choose whether or not to participate in matriculation services.
- ☐ Ensure that exemptions from matriculation are not based upon specified sole criterion.
- ☐ Use technology to implement or support orientation activities.

Counseling

The purpose of counseling and advisement is to address students' needs with respect to their strengths and areas of improvement and to facilitate a match between the services that a student may need and the resources available on campus and in the community.

Title 5 section 55523 and statute requires colleges to provide counseling and advising services to students so that they can formulate, adopt and update a student educational plan, and participate in follow-up services with the intent that students have ongoing interaction with counseling staff. The ultimate goal of counseling and advising is to support students in meeting their educational goal(s) and supporting student success.

Title 5, section 55523 on counseling and advisement states:

- (a) If not already required to do so by the minimum standards for counseling services set forth in section 51018, each community college district shall do all of the following:
 - (1) make reasonable efforts to ensure that all nonexempt students who are on probation participate in counseling as provided in section 55034;
 - (2) make reasonable efforts to ensure that all nonexempt students who have not declared a specific educational goal participate in counseling to assist them in the process of selecting a specified educational goal pursuant to section 55525;
 - (3) make reasonable efforts to ensure that all nonexempt students who are enrolled in nondegree-applicable basic skills courses participate in counseling or advisement; and

(4) make available to all students, advisement or counseling on general academic requirements and the selection of specific courses by counselors or appropriately trained instructor/advisors, and/or other appropriately trained staff working in consultation with counselors.

(b) Counseling by appropriately trained counselors or advisement by appropriately trained staff may also be made available in any other area the district deems appropriate, including but not limited to, the interpretation of assessment results and the development of a student's educational plan as required by section 55525.

Counseling and Advising Services

The counseling function is central to the provision of matriculation services. State funding for matriculation can be used to pay for counseling and academic advisors' salaries. Through contact with counselors, students are provided transfer and articulation information, orientation services, development of the student educational plan (SEP), multilingual advisement, ESL placement advice, probationary and academic dismissal interventions, career, life-skill workshops, and personal counseling.

Students rely upon counselors and advisors for a number of services including:

- Course advisement and placement - Counselors and advisors are aware of course and program requirements through discussions with English, ESL, and math faculty. Counselors provide professional advice to students on their career goals and paths taking into consideration their test placement scores and relevant companion measures or factors;
- Assistance with registration materials, financial aid paperwork;
- Development of student educational plans (SEP) - SEPs detail the step-by-step and semester by semester path students need to follow in order to reach their vocational and academic objectives;
- Guidance and extended orientation courses for students in need of enhanced exposure to successful study strategies and supportive services;
- Development of transfer plans for students who intend to transfer – Counselors and advisors keep students apprised of the courses that have been articulated for transfer so that students do not enroll in courses that will not be accepted at transfer institutions;
- Visits to four-year colleges;
- Workshops on resume writing, career choices;
- Matriculation services to students in remote locations, online and/or via telephone;
- Outreach in high schools and community centers;
- Referrals to other services on campus and in the community.

Colleges may use matriculation funding to hire counseling faculty who speak multiple languages and to hire adjunct counselors to advise students during the heaviest registration periods, thus assuring that a student who needs to see a counselor during registration is able to do so.

Minimum Qualifications for Counselors

Statute and regulations describe minimum qualifications for counseling faculty and faculty advisors. The Education Code section 72620 requires a person providing counseling services to be qualified as a counselor (described in Sections 87355 or 87356). Title 5 section 53410 also describes the minimum qualifications for counselors. Regulations specify the minimum qualifications for service as a community college faculty member teaching any credit course, or as a counselor or librarian, as either the (a) possession of a master's degree, or equivalent foreign degree, in the discipline of the faculty member's assignment, or (b) possession of a master's degree, or equivalent foreign degree, in a discipline reasonably related to the faculty member's assignment and possession of a bachelor's degree, or equivalent foreign degree, in the discipline of the faculty member's assignment.

Student Education Plan (SEP)

The matriculation regulations require an SEP for all non-exempt matriculants. While the matriculation regulations define matriculation as an agreement between the student and the college (section 55502), the SEP is identified as the vehicle for implementing this agreement. More specifically, the regulations require that the SEP identify the student's educational objectives and courses, services, and programs to be used to achieve them (55520 [d]) and the student's responsibilities within the matriculation process (55530[d]). Under title 5, section 55530(d), students are required to “express at least a broad educational intent upon admission...declare a specific educational goal within a reasonable period after admission...and maintain progress toward an educational goal.” Districts are then required to adopt policies that further define the requirements, consequences, and timeframes for students, but regulations at a minimum state that “all students shall be required to declare such a goal during the term after which the student completes 15 semester units or 22 quarter units of degree-applicable credit course work.” The regulations (55525) also require each college district to establish a process for assisting students to develop an SEP. See title 5, section 55525, *Student Educational Plan*, below for further detail.

55525. Student Educational Plan.

(a) Each community college district shall establish a process for assisting students to select a specific educational goal within a reasonable time after admission as required by Section 55530 (d). This shall include, but not be limited to, the provision of counseling as required by Section 55523(a)(2).

(b) Once a student has selected a specific educational goal, the district shall afford the student the opportunity to develop a student educational plan describing the responsibilities of the student, the requirements he or she must meet, and the courses, programs, and services required to achieve the stated goal.

(c) The student educational plan developed pursuant to Subsection (b) shall be recorded in written or electronic form. The plan and its implementation shall be reviewed as necessary to ensure that it continues to accurately reflect the needs and goals of the student.

The student education plan is a document that will allow the student and the institution to identify the educational objectives of the student and to formulate a methodology for reaching the objectives.

(d) If a student believes the district has failed to make good faith efforts to develop a plan, has failed to provide services specified in the student educational plan, or has otherwise violated the requirements of this Section, the student may file a complaint pursuant to Section 55534 (a).

Advantages of using a Student Educational Plan

There are several advantages to using the SEP. As a document for both planning and student progress review, the SEP:

- Coalesces student information from diverse sources, including assessment results, to a single form that may be shared and utilized by students, staff and faculty (this is especially true of SEPs that are prepared electronically and can be accessed by personal computer);
- Significantly increases counselor and student accountability by committing to paper specific objectives and responsibilities for both parties to observe;
- Documents the criteria and rationales that are utilized for the purpose of establishing course and major recommendations;
- Facilitates the referral to other student and instruction-supporting services for assignment and follow-up; and,
- Assists in the tracking of student performance in classes and referrals, and aids in the determination of the extent to which services are utilized from both the student and faculty/staff perspectives.

How should the Student Education Plan be developed?

Each college has the responsibility for deciding the content and format of its SEP, when it is to be developed with the student, and the procedures for doing so. The plan should depict the courses, services, and mutual agreements to which the institution and student would adhere in order to ensure the student's success and the integrity of the institution's efforts to provide the student with all possible assistance for reaching his/her educational goals. At a minimum, the physical format of the SEP should contain (and include adequate space for) the student's name, address, social security number or campus-generated student number, a broad educational goal or objective, a declared major, courses to be taken for the semester, courses to be completed to satisfy the student's educational objective, and programs or services to or about which the student should be referred or advised.

When formulating an SEP, it is important to consider some of the challenges that must be met so that the SEP reflects a comprehensive effort to address student and institutional needs. Is the form easy to read by student and staff/faculty? Does the SEP clearly express what the student needs to do in order to be successful? Are the items easily translated for input into digital format and for entry in the college and Chancellor's Office MIS? Is there a place on the SEP for modifications of a student's objectives? How much time does it take to complete the form? Is there a place to indicate desire to transfer or receive a vocational certificate? Are there provisions for limited-English speaking students (i.e., another version of the SEP in different languages, multi-lingual personnel available, etc.)? Are general education requirements shown distinct from major requirements? Is there space for the dating of each student/counselor

contact? Is there space for referrals visible for each modification of the SEP? Can it be used by several campus entities involved with the SEP (e.g., financial aid, EOPS, DSPS, counseling)? Can the SEP be utilized to assist in the development of curriculum?

In general there are two ways colleges have developed an SEP: program-specific and campus-wide. Both approaches have distinct advantages and disadvantages and colleges will need to consider their campus' needs, staff expertise and workload capabilities in choosing an approach.

The program-specific approach. The SEP can be developed by individual programs (EOPS, DSPS, Financial Aid, Veterans', etc.), separate from any format used among the wider student populations. This approach has these advantages: the SEP may be more closely tailored to the identified needs of smaller student populations; the SEP can be designed to gather only the information that is directly needed by the programs' statutory charge; and the program staff will "buy into" its use more easily and be more willing to use it in a comprehensive way since its application is immediately and practically evident. The disadvantage of this approach is that it may need to be "translated" as a student moves from one area of campus services to another (e.g., from EOPS to the "mainstream"). Additionally, this SEP may gather information that the institution does not collect, hindering the use of such information for research and evaluation. This approach may also require additional staff time to cross-train college staff in how to read or use the various SEPs in place on campus, fostering or reinforcing a sense of program separation from the wider campus.

The campus-wide approach. This is the clearest alternative to the program-specific SEP. With this approach, an SEP is developed for all special program and "unaffiliated" students alike. Since there tends to be a number of SEPs in use on any one campus (due in part to various programs that require them), the campus-wide approach requires negotiation. It is likely that this type of negotiation will demand that all programs and divisions meet in concert to identify common concerns that may be met through the SEP and to negotiate items that serve particular interests. This discussion is helpful and may result in the campus emerging with a document that is broader than what any single program would require while allowing all programs to "fit" within it.

There are some disadvantages to using the campus-wide approach. Some disadvantages include the danger that the SEP will become too generic to accommodate any particular program needs, or will collect so much information that completing the form will become a gargantuan task. This approach however, has been taken successfully at many colleges.

Colleges or districts can also choose to combine the approaches and develop a common SEP for the general student population while allowing special programs to develop and/or relatively small number of categorical program students or financial aid recipients, this approach may be a good one since there may be fewer special considerations that be included in its formulation.

Student Education Plan Information

1. Inform the student of the intent of the SEP and how this information has a direct and practical bearing on his/her choices of educational objectives.

2. If utilizing an electronic SEP, confirm the student information that appears on the screen and make appropriate corrections and/or supplements.
3. Discuss educational goals, objectives and majors.
4. Clarify the differences between AA and BA degrees, general education and major requirements, and academic vs. vocational majors (including certificates).
5. Clarify the differences between transfer and non-transfer degrees as needed.
6. Explain the various levels of student academic standing i.e., clear probation (academic and progress) and disqualified.
7. Review test scores, other assessment measures used and available, and student's perception of results.
8. Discuss the importance of enrolling in any needed remedial coursework as early as possible.
9. Determine work hours and other commitments and responsibilities that may impact the student's academic performance and progress.
10. Discuss courses and unit load for the current term that are consistent with the student's goal, skills, and educational objective.
11. Determine the level of supportive services and instructional-related support required by the student, as appropriate.
12. Make referrals and recommendations for academic and/or student (and social) services as needed.
13. Make additional appointments and/or acquaint the student with the procedures for future assistance if the need arises.

When should the student education plan be updated?

The SEP is a dynamic document and should accurately reflect the changes in students' situations and academic performance when these changes affect the provision of instruction and supportive services or potentially alter the matriculation agreement between the student and college. In this light, the following situations may warrant the update of the SEP:

1. If student has changed his/her academic goal, major, or transfer institution.
2. If the student has been placed on either academic or progress probation.
3. If the student is returning to the campus following any prolonged (a semester or longer) absence.
4. In the case of students participating in categorical programs, as often as required by regulation or local program standards.
5. As requested by the student in consultation with the assigned counselor and/or faculty advisor.
6. When initiated by the appropriate counselor, faculty or staff person as part of a specific tracking activity.

At this point, there are a myriad of shapes which the SEP may take: a checklist of required degree, certificate, or transfer courses; a semester-by-semester grid of recommended courses and their sequencing; or some combination of the two. There may also be a companion portion of the SEP that can be given to the student and that illustrates the path the student needs to take to complete his/her objective and with appropriate junctures for counselor meetings, unit

checks, graduation appointments, meetings with the transfer center counselor, etc. Although the Chancellor's Office strongly emphasizes the planning nature of the SEP, there are no state-imposed standards determining how far into the future a plan should project.

Counseling Resources:

- Consultation Council Task force on Counseling (2003). <http://asccc.org/node/174955>

Student Follow-Up

State regulations require colleges to provide post-enrollment evaluation of every student's progress in order to detect early indications of academic difficulty. Great numbers of California community colleges are adopting electronic "early alert" programs that allow instructional faculty to report student difficulties in a consistently timely manner. As a result of follow-up, students who have not declared a specific educational goal, students enrolled in pre-collegiate basic skills courses, and students on probation or not making satisfactory progress, are identified and referred to services such as tutoring, child care, job counseling or placement, academic and vocational counseling, and other services available to help students overcome obstacles to their academic success. Much of the intervention activities provided through this component are performed by counselors.

The student follow-up component of matriculation is concerned with the regular monitoring of student progress. Follow-up is intended to provide for the student and the institution a process that increases the interaction between the student and college so that if intervention is necessary to help ensure student success, it may be rendered in a timely fashion before the student is in an irreparable situation that may result in failure in one or more courses.

Traditionally, "early alert" programs are utilized to provide follow-up information. The objectives of an early alert program are to give the in-class instructors an opportunity to detect signs of academic difficulty and make a referral for the student to see a counselor or advisor to determine what services may be provided that would help the student positively address the difficulty. Many colleges utilize a computerized early alert system that relies on a coded report form from the instructor that is kept in a special data base used by the counselors to identify the students who need assistance. The students are contacted and visit a counselor. In consultation with the student, the counselor will make a plan for the student to follow to help improve his/her situation.

Title 5, section 55526, delineates the requirements for the student follow-up component of the matriculation process:

"Each community college district shall establish a student follow-up process to assist the student in achieving his/her educational goal. The follow-up system shall ensure that the academic progress of each student is regularly monitored to detect early signs of academic difficulty and students shall be provided with advice or referral to specialized services or curriculum offerings

where necessary. Districts shall also identify and refer to counseling or advisement, as appropriate pursuant to section 55523(a), any students who have not declared a specific educational goal as required by section 55530, who are enrolled in pre-collegiate basic skills courses, or who have been placed on probation.”

Coordination and Training

The purpose of this component is to ensure that the college’s matriculation plan and process is coordinated and developed in consultation with key stakeholders and to ensure that all faculty and staff receive training on the provision of matriculation services.

In terms of coordination, title 5, section 55510 (b) states that the matriculation “plan shall be developed through consultation with representatives of the academic senate, students, and staff with appropriate expertise...”

Title 5 section 55516 on training and staff development states:

“Each community college district shall develop and implement a program for providing all faculty and staff with training appropriate to their needs on the provision of matriculation services, including but not limited to, the proper purpose, design, evaluation, and use of assessment instruments, methods or procedures, as well as their limitations and possible misuse.”

This component enhances services to students by continuously acquainting college and district faculty and staff of the objectives of matriculation and the services that are available to students through the process. Coordination and training efforts should involve the broadest possible range of college staff and students.

The coordination and training component provides continual training opportunities on the components of matriculation for all college personnel who have direct student contact. Colleges can provide training opportunities by:

- Including matriculation training during new faculty and staff orientations;
- Providing workshops on different components of matriculation during FLEX activities;
- Sponsoring faculty and staff attendance at matriculation-related activities, meetings and conferences;
- Dedicating a section of departmental newsletters and updates to matriculation activities and issues;
- Widely dispersing across the campus, district and community, matriculation-related research findings and reports;
- Including matriculation information in staff, student, and faculty handbooks;
- Including matriculation presentations at departmental and division meetings as well as at meetings of the Academic Senate;
- Making matriculation information available to student groups and organizations.

Research

The purpose of Matriculation research and evaluation is to provide ongoing data and analyses to policymakers, faculty, and students about the impact of matriculation on student performance and other outcomes.

Section 51024(b) requires colleges to “evaluate its matriculation program and participate in statewide evaluation activities as required under Section 55512(c).” This evaluation identifies the efforts of the colleges to implement matriculation, the impact of the matriculation process on student outcomes, and, according to Section 55512 of title 5 ensures that assessment instruments are evaluated to ensure that “they minimize or eliminate cultural or linguistic bias and are being used in a valid manner”. Matriculation research also allows for continuous program improvement.

Prior to the availability of matriculation funding, few colleges and districts had full-time professional researchers in their ranks. This changed with the regulatory requirements that matriculation research must be conducted and the resulting analyses shared with the local college community and the state.

Matriculation evaluation varies across colleges and districts and may include evaluating:

- The manner in which matriculation impacts particular courses, programs and facilities;
- The ways that matriculation assists students to define and identify their educational goals;
- Evidence that matriculation services promote student success, retention, and persistence;
- How matriculation services contribute to the appropriate placement of students in the curriculum;
- The proportion of students placed in pre-collegiate basic skills courses, associate degree-level courses, specific transfer curricula and transfer-level courses in reading, English and math.

In 1988, researchers in the field began to focus on strategies for evaluating matriculation, both at the local and statewide level. With support from the CCCCCO, researchers in the field collaborated to develop models for local matriculation evaluation known as the Local Research Project. The purpose of these models is to facilitate evaluation of matriculation. The following are reports from the Local Research Project.

- 1) Matriculation: Local Research Projects Option Options
<http://www.cccco.edu/LinkClick.aspx?fileticket=rwkUf7veu2o%3d&tabid=628&mid=1715>
- 2) Matriculation Evaluation: Monograph on Designs from the Local Research Projects Option (February 1992).

<http://www.cccco.edu/LinkClick.aspx?fileticket=9Q3Tf4pkdXM%3d&tabid=628&mid=1715>

- 3) Matriculation Evaluation Phase III: Local Research Options (June 1992).

<http://www.cccco.edu/LinkClick.aspx?fileticket=7x1GnYvg3SU%3d&tabid=628&mid=1715>

Research Resources

- The Research and Planning Group for the California Community Colleges
<http://www.rpgroup.org/>
- Predicting Student Outcomes Using Discriminant Function Analysis (2001).
<http://www.rpgroup.org/sites/default/files/Predicting%20Student%20Outcomes%20Using%20Discriminant%20Function%20Analysis.pdf>

Prerequisites

Prerequisites are conditions of enrollment that students are required to meet prior to enrollment in particular courses and programs. The assignment of a prerequisite to a course signifies that the courses skills, or body of knowledge described in the prerequisite are essential to the success of the student in that course and that it is highly unlikely that a student who has not met the prerequisite will receive a satisfactory grade in the course for which the prerequisite has been established. A single test score (or any other single assessment measure) cannot be used as a prerequisite.

Although not originally a part of matriculation, standards for prerequisite review and approval and criteria for student challenge of prerequisites were added to title 5 as the eighth component of the matriculation plan. Title 5, section 55510(a)(6) and (7) requires college matriculation plans to include, “procedures for establishing and periodically reviewing prerequisites pursuant to section 55003,” and “procedures for considering student challenges to prerequisites established pursuant to section 55003.”

Title 5 regulations governing prerequisites were amended again in April 2011 to allow colleges to base their determination of prerequisites in English, reading, or mathematics for college-level courses on either content review alone or on content review with statistical validation. Previously, establishing communication and computation prerequisites was based on content review and statistical validation. If a college intends to establish prerequisites by content review only, the new regulatory provisions require colleges to adopt a local board-approved plan that addresses specific criteria. Title 5, section 55003, specifies the criteria for the plan:

“(c) A district governing board choosing to use content review as defined in subdivision (c) of section 55000 to establish prerequisites or corequisites in reading, written expression or mathematics for degree-applicable courses not in a sequence shall first adopt a plan specifying:

(1) the method to be used to identify courses to which prerequisites might be applied;

- (2) assurance that courses are reasonably available to students when prerequisites or corequisites have been established using content review as defined in subdivision (c) of section 55000. Such assurance shall include sufficient availability of the following:
- (A) appropriate courses that do not require prerequisites or corequisites, whether basic skills or degree-applicable courses; and
 - (B) prerequisite or corequisite courses;
- (3) provisions for training for the curriculum committee; and
- (4) the research to be used to determine the impact of new prerequisites based on content review.”

Model District Policy

The Model District Policy, first sent to the colleges and districts by the Chancellor's Office in 1994, describes the colleges' activities in the areas of prerequisites, corequisites, and advisories. The Model District Policy was developed by the CCCC and the Academic Senate to provide a framework that meets all the requirements of state law. A district that simply adopted this model policy without changes would have been deemed in compliance by the CCCC. It was intended that districts could adopt the Model District Policy or adopt parts of the model as they draft their own local policies. While this policy remains in force, the Chancellor's Office is currently reviewing the policy for revision given the recent changes to title 5 regulations on prerequisites. A copy of the Model District Policy from 1994 is included as Appendix J.

Prerequisites and Monitoring Disproportionate Impact through College Student Equity Plans

Title 5 section 55003 (l)(2) ties the establishment of prerequisites with the student equity plan provisions of section 54220 to ensure that prerequisite requirements do not have a disproportionate impact on particular groups of student in terms of race, ethnicity, gender, age, or disability. Although the student equity plan process is not an official component of matriculation, in recent years, the student equity plan process has been overseen by CCCC matriculation staff. Section 54220 of title 5 delineates the requirements for college student equity plans and identifies five broad areas that colleges are required to address: (1) access, (2) retention, (3) degree and certificate completion, (4) ESL and basic skills completion, and (5) transfer.

Resources for Prerequisites

- Good Practice for the Implementation of Prerequisites (1997)
<http://asccc.org/node/174851>
- Model District Policy for Establishing, Reviewing, and Challenging Prerequisites, Corerequisites, Advisories on Recommended Preparation, and Certain Limitations on Enrollment:
<http://www.cccc.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/Matriculation/MatriculationResources/tabid/628/Default.aspx>
- Prerequisite Q and A: *Prerequisites, Corequisites, Advisories, and Limitations on Enrollment*, 1997 (found in the appendices of this handbook):

<http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/Matriculation/MatriculationResources/tabid/628/Default.aspx>

- Link to Student Equity Plan website:

<http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/StudentEquity/tabid/617/Default.aspx>

Chapter 3

MATRICULATION REPORTING REQUIREMENTS & PROGRAM ACCOUNTABILITY

Matriculation Reporting Requirements

The Chancellor's Office, on behalf of the Board of Governors, is responsible to the California Legislature to ensure that matriculation funds provided to districts are used for their intended purposes and that colleges operate their programs in accordance with state law and regulations. There are four primary reporting processes that colleges are required to complete.¹

The key reporting processes are:

- Matriculation Plan
- Mid-Year Report (Declaration of Unused Funds)
- Year-End Expenditure Report
- Management Information System (MIS) data reporting

The following sections of the Education Code and title 5 regulations identify specific reporting requirements:

The Section 78216(c) of the Education Codes and Section 55510 of title 5 regulations specify the program reporting requirements for credit and noncredit Matriculation:

Education Code, 78216(c) The board of governors shall require participating colleges to develop a plan for student matriculation that reflects all of the following:

- (1) A method for providing the services specified in Section 78212.
- (2) The college budget for the matriculation services pursuant to Sections 78212 and 78214.
- (3) The development and training of staff and faculty to implement the matriculation services.
- (4) In multicampus districts, the coordination of the college matriculation plan with other college plans.
- (5) Computerized information services and institutional research and evaluation necessary for implementation of this article.

Title 5, Section 55510. *Matriculation Plans.*

(a) Each community' college district shall adopt a matriculation plan describing the services to be provided to its students. The plan shall include, but not be limited to:

- (1) a description of the methods by which required services will be delivered;
- (2) the district's budget for matriculation;

¹ Budget trailer bill language enacted in 2009 allows districts to trigger categorical flexibility provisions that exempts them from having to meet reporting requirements for specified categorical programs. Matriculation is one of the categorical programs that falls under this provision.

- (3) plans for faculty and staff development;
- (4) computerized information services and institutional research and evaluation necessary to implement this Chapter;
- (5) criteria for exempting students from participation in the matriculation process;
- (6) procedures for establishing and validating prerequisites pursuant to Article 2.5 (commencing with Section 55200) of Subchapter 1 of Chapter 6 of this Division;
- (7) procedures for considering student challenges to prerequisites established pursuant to Article 2.5 (commencing with Section 55200) of Subchapter 1 of Chapter 6 of this Division; and
- (8) in districts with more than one college, arrangements for coordination by the district of the matriculation plans of its various colleges.

(b) The plan shall be developed through consultation with representatives of the academic senate, students, and staff with appropriate expertise, pursuant to Sections 5 1023 et seq.

(c) Such plans shall conform to the requirements of this Chapter and shall be submitted to the Chancellor for review and approval. Plans submitted prior to the effective date of this Section need not be revised or resubmitted if the Chancellor finds that they meet the requirements of this Chapter. Regardless of when plans are initially submitted, the Chancellor may require periodic updates of such plans.

Matriculation Reporting Timeframes

Reports are due to the Chancellor's Office during the following general timeframes:

- **October:** Matriculation Plan or plan updates due
- **January/February:** Mid-Year Report (Declaration of Unused Funds/Request) due
- **September/October:** Year-End Expenditure Reports due

Matriculation Plan

The matriculation plan contains standards as they relate to the matriculation process and prerequisite implementation at the college and/or district. The plan is submitted every three to five years and only updated on an annual basis if changes to the plan occur.

The plan is intended to describe the implementation of each matriculation component at the college. Where activities within any component are undergoing modifications, the plan describes the future modifications and timeline for implementation.

All state-funded matriculation services, procedures, and staff activities must be described in the plan. Section 78211.5(b) of AB 3 permits districts to expend these categorical funds only on matriculation activities approved by the Chancellor. The plan illustrates those activities and presents the opportunity for districts to fully describe their implementation of the matriculation process with respect to the regulations, and the adaptations to the original plans brought about by experience with the matriculation process, changing student demographics, the setting of new goals, etc.

The plan should not be limited to state-funded activities. The plan should describe all matriculation services, policies, activities and procedures in the college/district. *This is*

important because requests to make expenditures for staffing, computers, furniture, and so forth, will be approved only if they're directly and clearly related to the services and activities written in the plan.

The matriculation plan is divided into five sections:

1. Cover/signature page;
2. Eight components with two subsections:
 - a. List/description of your college's activities in this component;
 - b. List/description of your college's goals in this component;
3. Budget;
4. Policies and procedures, and;
5. Attachments

Signatures are required for the Matriculation Coordinator, his/her supervising administrator, the Academic Senate president, the college president, and (if applicable) the chancellor for multi-college districts.

The Chancellor's Office does not require that a district governing board formally approve the matriculation plan. If a district has such a requirement, it is important that the plan can be presented and approved in time for it to be signed and sent to the Chancellor's Office by the October deadline.

Matriculation Plan Components

1. Matriculation Program Components

The eight components of matriculation are: (1) Admissions; (2) Orientation; (3) Assessment; (4) Counseling/Advising; (5) Follow-up; (6) Coordination/Training; (7) Research/Evaluation; and (8) Pre- and co-requisites. For each component the college's plan should address the following two areas:

- a. *Activities*: A description of each service, process or activity that is part of matriculation on the campus. All services, whether funded with the state matriculation allocation, by the district or by both, including those matriculation services that go beyond the legislative and regulatory requirements should be included.
- b. *Goals*: List the goals to be reached within each component, the approximate time frame for these to be accomplished and the staff person (position) responsible or most significantly involved in its completion.

2. Matriculation Policies and Procedures

Policies and procedures listed in the program plan require action by the district's local Board of Trustees. Keep in mind that this section of the plan pertains to the directives in the legislation and regulations that require districts to establish policies and procedures

by which the parameters for the implementation of matriculation may be clearly and equitably drawn.

Board adopted policy means that the District's governing board has adopted this as a formal policy. It would be a good idea to keep these policies on file with the district and college's copy of this plan for future reference.

Institutional practices means that although it may not be a formal policy of the district board, it is customarily implemented in line with regulations through local procedures and services. These are usually written in a local procedures handbook, training manual, college catalog, schedule of classes or brochure of public information. These, too, should be kept with a copy of the matriculation plan with appropriate citations to the regulations. In those instances where applicable practices are performed but not documented, these should be committed to writing and kept on file for future reference.

It is expected that all the required policies and practices referenced from legislation and the regulations are in force at the time of submittal of the plan. Additionally, where the regulations specify a district board policy, it must be a formally enacted local board policy.

3. **Organization Chart(s)**

A copy of the college's organization chart that highlights the Matriculation Coordinator's position should be included in the plan. If coordination of matriculation is among the responsibilities of a differently titled administrator, the position should be asterisked.

If the district has a district Matriculation Coordinator in addition to the campus coordinator, the program plan should also include a copy of the district organization chart, highlighting the district Matriculation Coordinator's position (if it is not identified as such on the chart).

4. **Matriculation Committee** membership roster which can be a list of individuals and their positions or simply the positions. This section of the plan would also identify formal committees and subcommittees.

Fiscal Reports

This section of the handbook describes the two fiscal matriculation reports: the Mid-Year and Year-End Expenditure Reports.

Mid-Year Report (Declaration of Unused Funds)

The Mid-Year Report is also referred to as the Mid-Year Report (Declaration of Unused Funds). The annual report templates are posted on the Chancellor's Office website and issued via the Matriculation listserv.

In accordance with the *Matriculation Re-Allocation of Funds Policy* (refer to Mid-Year Report), matriculation funds allocated to colleges for a specific fiscal year are to be spent during that fiscal year. With the exception of districts that have triggered the categorical flexibility provision, unspent matriculation funds must be returned to the State for re-allocation to colleges that have demonstrated a need for additional resources. Districts that have triggered the categorical flexibility provision (AB X4 2 State budget trailer bill) are encouraged to complete this form and to indicate the date the board took action to trigger this provision for the fiscal year in question.

Each community college must complete and submit the *Declaration of Unused Credit and Noncredit Matriculation Funds* form to report and to request unused matriculation funds. Funds returned to the State will be distributed consistent with the *Matriculation Re-Allocation of Funds Policy*. Any community college returning more than five percent of its previous year's allocation will not be eligible to receive re-allocated funds.

Matriculation Re-Allocation of Funds Policy

Funds returned to the Chancellor's Office prior to the end of the fiscal year will be re-allocated to those colleges requesting re-allocation funds based on the established priorities for the year. The re-allocation of funds will be disbursed as evenly and equally as possible based on the amount of available funds, the individual college request, and the established priorities. The policy is as follows:

1. Colleges will be requested to report any unspent funds for the fiscal year to the Chancellor's Office by the due date. This information will be reported on a form titled "Mid-Year Report." Changes in budgets should be reported through the end of the fiscal year.
2. Colleges will also be asked to submit requests for re-allocation funds no later than specified due date. To be considered, the requests must include a breakdown of the activities to be funded with a description and corresponding dollar amount needed. There is no limit set on the amount of funds a college may request.
3. For the 1991-92 fiscal year and beyond, any college that returns in excess of five percent of its previous year's allocation will not be eligible to receive re-allocated funds.
4. The Chancellor's Office will review the requests for re-allocated funds and recommend funding based on the priorities listed below. A panel of peers will review projects for eligibility and place projects into two categories.

Category A (and first priority): Projects necessary for implementation of matriculation components/services.

Category B (second priority): Projects for innovative matriculation services/activities beyond the minimum required by title 5.

Funding will be allocated by priority. If funds are available, all approved requests will be funded within each priority. Category A will be funded prior to funding Category B. If the total requests for unused funds in Categories A and B exceed the amount of unused funds available, then funding will be distributed equally among the approved requests.

If, after Priority 1 is fully funded and additional funds are available, colleges applying for reallocated funds will be awarded up to \$5,000 of their initial request. Requests exceeding \$5,000 will be awarded a base of \$5,000 and an amount that would be commensurate with the remainder of available funds as proportionately distributed to similar requests. If the total requested for projects is insufficient to award the minimum of \$5,000, approved projects will receive funds proportionately with a ceiling of \$5,000 per college. Funds will be awarded by priority sequence established above. Colleges will be contacted for verification of need prior to receiving an award letter.

5. Requests for re-allocation funds are due by the specified due date. Unless available funds exceed requests, those submitted after the due date, will not be considered.
6. Colleges receiving re-allocation funds will be expected to spend or encumber the funds as requested within this fiscal year. If the college determines they cannot expend the funds as requested, the funds are to be returned to the Chancellor's Office for further re-allocation. If a college proceeds to spend the re-allocation funds for a different priority than granted, the college will be required to return those funds and will not be eligible during the next fiscal year for re-allocation funds.

Year-End Expenditure Report

The credit and noncredit Matriculation Year-End Expenditure Reports are due after the conclusion of the fiscal year, typically in September or October. Colleges are required to report fiscal year expenditures through the Year-End reporting process. Annual report form templates are posted to the Chancellor's Office website each year and released via the Matriculation listserv.

Matriculation Standards and Program Accountability

Matriculation is governed by state Education Code statute, title 5 regulations, CCCCCO legal opinions and advisories, and program policies and procedures. The following is a summary of the Education Code and title 5 regulation standards that relate to the matriculation program.

Admissions Component		
Ed. Code	Title 5	Component Standard
78212(b)(1)	55520(a)	Provide a procedure for the processing of the admission application.
	55522	Provide modified or alternative services for the matriculation process (if necessary) for ethnic and language minority students and students with

	disabilities.
55510(a)(4)	Utilize computerized information services to implement or support admissions services.

Orientation Component

Ed. Code	Title 5	Component Standard
78212(b)(2)	55502(h)	Provide students and potential students with information concerning college programs, services, financial assistance, facilities and grounds, academic expectations, course scheduling and institutional procedures in a timely manner.
78212(a)	55530(b)(d)	Provide written definitions informing students of their rights and responsibilities.
	55003(p),(q)	Promptly inform students of their right to challenge (on specified grounds) pre- or co-requisite or limitation on enrollment; their responsibility for showing that grounds that exist for the challenge; and their right to file a complaint of unlawful discrimination.
	55534(b)	Inform students of procedure for alleging unlawful discrimination in the implementation of matriculation practices.
	55534(a) 55534(b)	Provide students with or direct them to written district procedures for: challenging matriculation regulatory provisions; district investigation and attempted resolution of complaints; and methods by which district maintains such complaints.
	55522	Provide modified or alternative services for the matriculation process (if necessary) for ethnic and language minority students' and students with disabilities.
78214(b)(3)	55532(a) 55510 (a)(5)	Adopt District governing board policies specifying criteria for exemption.
	55532(c)	Make exempted students aware that they may choose whether or not to participate in this component.
	55532(d)	Ensure that exemptions from this component are not based upon specified sole criterion.
	55510(a)(4)	Utilize computerized information services to implement or support orientation activities.

Assessment Component

Ed. Code	Title 5	Component Standard
	55520(c)	Conduct assessment for all non-exempt students.
78212(b)(3)(A)		Administer assessment instruments to determine student competency in computational and language skills.
78212(b)(3)(B)		Assist students to identify their aptitudes, interests, and educational objectives.
78212(b)(3)(C)		Evaluate students' study and learning skills.
78213(a)	55521(1)	Use assessment instruments approved by the Chancellor.

Assessment Component		
Ed. Code	Title 5	Component Standard
	55521(2)	Use assessment instruments only for purpose for which they were developed or validated.
	55521(3)	Use multiple measures (other than two or more highly correlated instruments) for placement, required and appropriate referral, or subsequent evaluation.
78213(b)(2)	55521(e)	Use assessment instruments, methods or procedures in an advisory manner in the selection of academic courses and educational programs.
	55522	Provide modified or alternative services for the matriculation process (if necessary) for ethnic and language minority students and students with disabilities.
78214(b)(3)	55532(a) 55510(a)(5)	Adopt District governing board policies specifying criteria for exemption.
55532(c)		Make exempted students aware that they may choose whether or not to participate in this component.
	55532(d)	Ensure that exemptions from this component are not based upon specified sole criterion.
	55510(a)(4)	Utilize computerized information services to implement or support assessment services.

Counseling & Advisement Component		
Ed. Code	Title 5	Component Standard
78212(b)(3)(D)	55520(g)(1),(2)	Make appropriate referral(s) to available support services and curriculum offerings.
78212(b)(3)(E)	55520(d) 55523(a)(4)	Provide advisement concerning course selection.
78212(b)(4)	55523(a)(1)	Make reasonable efforts to ensure that probationary non-exempt students participate 55526 in counseling.
78212(b)(4)	55523(a)(2) 55526	Make reasonable efforts to ensure that non-exempt students without a declared educational goal participate in counseling.
78212(b)(4)	55523(a)(3) 55526	Make reasonable efforts to ensure that non-exempt students enrolled in pre-collegiate basic skills courses participate in counseling or advisement.
	55520(d) 55523(a)(4)	Make counseling or advisement available to all non-exempt students.
	55523(b)	Provide counseling or advisement by appropriately trained counselors or staff in areas deemed appropriate by the district.
	55520(e) 55525(a),(b) 55530(d)	Provide assistance in selection of a specific educational goal and development of the student educational plan, including student responsibilities.
	55525(c)	Record the student educational plan in written or electronic form.
	55525(c)	Review, as necessary, the student educational plan, its implementation, and its accuracy related to students' needs.
	55003(p)(1)(2)	Promptly inform students of their right to challenge (on specified

Counseling & Advisement Component

Ed. Code	Title 5	Component Standard
	(3)(4)(5)(6)	grounds) a pre- or co-requisite or limitation on enrollment; their responsibility for showing that grounds exist for the challenge; and their right to file a complaint of unlawful discrimination.
	55534(b) 55525(d)	Inform students of procedures for filing complaint alleging unlawful discrimination in the implementation of matriculation practices, including alleged violation of process for developing student educational plan.
	55534(a) 55525(d)	Provide students with or direct them to written district procedures for: challenging matriculation regulatory provisions; district investigation and attempted resolution of complaints; and methods by which district maintains such complaints.
	55522	Provide modified or alternative services for the matriculation process (if necessary) for ethnic and language minority students and students with disabilities.
78214(b)(3)	55532(a) 55510(a)(5)	Adopt District governing board policies specifying criteria for exemption.
	55532(c)	Make exempted students aware that they may choose whether or not to participate in this component.
	55532(d)	Ensure that exemptions from this component are not based upon specified sole criterion.
	55510(a)(4)	Utilize computerized information services to implement or support counseling/advising activities.

Student Follow-Up Component

Ed. Code	Title 5	Component Standard
78212(b)(4)	55520(f) 55526 55523(a)(1-3)	Provide post-enrollment evaluation of each non-exempt student's academic progress enrolled under specific academic conditions.
	55526	Establish a follow-up system that ensures regular monitoring for early detection of academic difficulty.
	55526 55520(g)	Make referral to appropriate services and curricula as necessary.
	55522	Provide modified or alternative services for the matriculation process (if necessary) for ethnic and language minority students with disabilities.
	55510(a)(4)	Utilize computerized information services to implement, support, monitor and/or track follow-up services.

Coordination & Training Component

Ed. Code	Title 5	Component Standard
78216(b)(c)(3)	55516 55510(a)(3) 55523(b)	Develop and implement a program for providing all faculty and staff with training appropriate to their needs with respect to provision of matriculation services. <ol style="list-style-type: none"> 1. Admissions 2. Orientation 3. Assessment 4. Counseling/Advisement 5. Follow-up 6. Research and Evaluation 7. Pre- and Co-requisites and Advisories
	55510(a)(4)	Utilize computerized information services to implement or support coordination and training activities.

Research & Evaluation Component

Ed. Code	Title 5	Component Standard
78214(a)	55512(a)	Establish and maintain institutional research for evaluating efficacy of matriculation services and remedial programs and services.
	55512(a)	Evaluate all assessment instruments to ensure that they minimize or eliminate cultural or linguistic bias and are being used in a valid manner.
	55512(a)	Determine whether any assessment instrument, method or procedure has a disproportionate impact on particular groups of students described in terms of ethnicity, gender, age or disability; where unjustified disproportionate impact is found, develop plan to correct it.
	55512(a)(1)	Analyze degree of matriculation's impact on particular courses, programs and facilities.
78214(c)(1) 78214(b)(2)	55512(a)(2)	Analyze degree to which matriculation helps students to define their educational goals and objectives.
78214(b)(6)	55512(a)(3) 55514(d)	Analyze extent to which matriculation promotes student success as evidenced by student outcomes, persistence, skill improvement, grades, and goal attainment.
78214(c)(2)	55512(a)(4)	Analyze degree to which matriculation assists district efforts to assess educational needs.
78214(c)(3)	55512(a)(5)	Analyze degree to which matriculation matches district resources with students' educational needs.
78214(b)(4)	55512(a)(6)	Analyze degree to which matriculation provides students the specialized support services and programs to which they are referred.

Research & Evaluation Component

Ed. Code	Title 5	Component Standard
78214(c)(4)	55520(g)	
78214(b)(5)		Determine ethnicity, sex and age of credit students.
	55514(a)	Determine proportion of students of ethnic, gender, age and disability groups placed in pre-collegiate, associate degree-applicable, or transfer courses in reading, writing, computation, or ESL.
	55514(b)	Determine proportion of students of ethnic, gender, age and disability groups who enter and complete pre-collegiate basic skills courses.
	55514(c)	Determine proportion of students of ethnic, gender, age and disability groups who complete pre-collegiate basic skills course and who subsequently enter and complete associate degree-applicable courses.
	55532(a)	Record number of students exempted by category and grounds for exemption.
	55514(f)	Maintain numbers of students filing complaints (re: 55534) and the bases of those complaints.
	55514(g)	
	55514(h)	Document particular matriculation services received by each non-exempt student.
	55510(a)(4)	Utilize computerized information services to implement or support research and evaluation activities.

Prerequisite, Corequisites, & Advisories on Recommended Preparation Component

Ed. Code	Title 5	Component Standard
	55003	District ensures open enrollment subject to health and safety considerations, facility limitations, etc., consistent with Board-adopted policies that identify such limitations and which require fair and equitable procedures for determining who may enroll in such courses.
	55003(b)(1)	Board-adopted policy establishes the process for establishing necessary and appropriate prerequisites, corequisites and advisories and their respective level of scrutiny, including data collection where appropriate.
	55003(b)(2)	Curriculum committee reviews course outline of record to determine if associate degree credit course shall require pre- and co-requisite to enhance students' likelihood of success.
	55003(d)(1) (2) (3)	Communication or computation pre- or co-requisites for any course other than a communication or computation course are based on content review, sound data-gathering research practices, and demonstration that student is highly unlikely to succeed without the pre- or co-requisite.
	55003(h)(i)	
	55003(e)(4) 55003(j)	If the curriculum committee determines that success in associate degree credit course is dependent on communication or computation skills, it establishes eligibility for enrollment in associate degree credit course(s) in

Prerequisite, Corequisites, & Advisories on Recommended Preparation Component

Ed. Code	Title 5	Component Standard
		English and/or mathematics as pre- or co-requisite(s).
	55003(b)(4)	Board-adopted policy specifies the process for periodically reviewing pre- and co-requisites (at least once every six years) and advisories, including level of scrutiny and frequency of review.
55002(a)(4) 55002(b)(4) 55201(b)(2)	55003(b)(3)	District ensures that associate degree credit courses and precollegiate basic skills courses (including those with pre- and co-requisites) are taught by qualified instructors and in accord with course outline of record, particularly those aspects of the course that are the basis for the pre- or co-requisite.
	55003(o)	District determines students' satisfaction of a prerequisite prior to enrollment or permits enrollment pending verification, and ensures that enrollment fees are promptly refunded to students who are involuntarily dropped from course for failure to successfully complete the prerequisite.
	55003(p)	District establishes procedures for determining who may enroll in courses for which there are limitations on enrollment, provides for student challenges to the limitations on the grounds specified in title 5, handles challenges to enrollment limitation in a timely manner, and waives the enrollment limitation if the challenge is upheld.
	55003(b)(5)	College resolves challenges (made on specified grounds) to pre- and co-requisites in a timely manner and, if the challenge is upheld, the student is allowed to enroll in the course or program.
	55003(h)	Pre- and co-requisites and advisories are identified in college publications and in the respective course outline(s) of record.
	55003(c)(2)	District ensures that precollegiate basic skills reading, writing or math courses that serve as pre- or co-requisites are offered with reasonable frequency and that the number of available sections is reasonable given student need.
	55003(c)(1) (2)(3)(4)	<i>For districts choosing to adopt prerequisites by content review only:</i> Local district board must adopt a plan specifying the methods to be used to identify courses to which prerequisites might be applied; assurance that courses in the sequence are reasonably available; provisions for training curriculum committees on content review; and, research to be used to determine impact of new prerequisites.
	55003(l)(2)(A) (B)	Monitor disproportionate whether the prerequisite or corequisites has a disproportionate impact on particular student groups in accordance with the college's student equity plan.

Budget

Ed. Code	Title 5	Component Standard
78211.5(b)		State matriculation allocation is used only for matriculation services approved by the Chancellor.

78211.5	55518(b)	District provides at least three-to-one dollar match of state matriculation allocation.
	55512(b)	District provides for a review of the revenue and expenditures of matriculation as part of annual district audit.

Policies & Procedures

Component Standard

District ensures that no matriculation practice subjects any person to unlawful discrimination - title 5, §55521(f)(a)(6).

District takes steps to ensure that the matriculation process is efficient so that students are not discouraged from participating in college programs - title 5, §55530(c).

District and/or college has developed matriculation plan through consultation with representatives of academic senate, students, and staff - title 5, §55510(b).

In multi-campus district, the district makes arrangements for coordinating the various college matriculation plans - title 5, §55510(a)(7).

Each pre- or co-requisite is established for at least one of the following reasons: 1) required or authorized by statute or regulation; 2) the prerequisite assures that the student has the skills or knowledge without which success in the subsequent course (or specific course within a program) is highly unlikely; 3) the corequisite assures that the student will acquire the skills or knowledge without which success in the subsequent course (or specific course within a program) is highly unlikely; or 4) necessary to protect the health and safety of the student or others - title 5, §55003.

District has adopted clear written policies that define student responsibilities and the consequences of failing to fulfill such responsibilities - title 5, §55530(d).

All computational and communication pre- and co-requisites are established on a course-by-course basis - title 5, §55003.

Student's satisfaction of pre- or co-requisite is based on successful completion of appropriate course or multiple-measures assessment. Any assessment instrument used shall be selected and used in accord with title 5, §55521, title 5, §55003.

District ensures that no exit test outside of a course is required to satisfy a prerequisite or co-requisite. - title 5, §55003.

Each course outline of record contains specific content and other required information is made available to the instructor. title 5, §55002(a)(3), 55002(b)(3)

Records of all student complaints of alleged violation of matriculation regulatory provisions are retained for at least three years after the complaint has been resolved. - title 5, §55534(a)

Board has adopted policy on limitations on number of units or selected courses in which students on

Policies & Procedures

Component Standard

probationary or dismissal status may enroll, or requirement that they follow a prescribed educational plan. - title 5, §58106(b)(5).

Board-adopted policies identify limitations on enrollment. - title 5, §58106(a),(b)

District ensures that there are sufficient numbers of co-requisite sections to accommodate students or the requirement is waived for individual students for whom space is not available. - title 5, §55201(e)

Board-adopted policy specifies the bases and process for a student to challenge the application of a pre- or co-requisite. - title 5, §55201(b)(4) and (f)

Board-adopted district policies and procedures related to pre- and co-requisites and advisories are included in the college's matriculation plan. - title 5, §55510(a)(6)

District policy ensures open enrollment (subject to meeting pre-and/or co-requisites); policy is in catalog, schedule of classes, and on file with state Chancellor. - title 5, §51006(b) and 58106(a)

District permits students, whenever possible, to avoid additional testing by submitting scores on recently taken tests which correlate with those used by the district - title 5, §55530 (c).

No portion of the district's assessment process is used to exclude students from admission to the college - AB 3, 78213(b)(3); title 5, §55521(d).

Audits

The Chancellor's Office Contracted District Audit Manual (CDAM) details the audit requirements that district auditors are expected to assess during the annual audit reviews. Below an excerpt from the CDAM as it relates to matriculation:

Contracted District Audit Manual Section on Matriculation

428 - USES OF MATRICULATION FUNDS

Background

State funds to support matriculation activities were first authorized by the enactment of the Seymour-Campbell Matriculation Act of 1986 through Chapter 1467 of the California Statutes of 1986. CCR, title 5, Section 55518(b) subsequently specified that each dollar of state matriculation funding should be matched by three dollars of other district matriculation resources. Additionally, the budget act for any given year may authorize a specific proportion of the appropriated matriculation funding to be allocated on a one-to-one matching fund basis to provide matriculation services in designated noncredit classes and programs.

Per CCR, title 5, Section 55512 (b), each district shall provide for a review of the revenue and expenditures of the matriculation program as part of its annual financial audit. Activities claimable against state matriculation funds include:

1. Admissions and records
2. Student exemption features
3. Assessment procedures
4. Orientation
5. Counseling and advisement
6. Assistance in developing a student's educational plan
7. Post enrollment evaluation of each student's progress
8. Referral of students to available support services
9. Referral of students to specialized curriculum offerings
10. Other (With Chancellor's Office written permission)

Audit Criteria

- Education Code Sections 78210-78218
- CCR, title 5, Sections 51024, 55500-55534, and 58106

Compliance Requirement

Districts are required to use local funds to support at least 75 percent of the credit matriculation activities with the remaining expenditures claimable against the state credit matriculation allocation. All expenditures related to the allocation, both State and local funded portions must be consistent with the district's state-approved matriculation plan and identifiable within the ten activities listed above. This 25 percent state funds, 75 percent local funds ratio applies district-wide, not per college or within individual activity groups.

Suggested Audit Procedures

1. Contact the matriculation coordinator to review the state approved matriculation plans for credit and noncredit, and discuss any modifications and matriculation-related activities not identified in the plan. Colleges or districts are required to report any changes to their credit and/or noncredit plans and to submit plan revisions/updates to the Chancellor's Office for approval.
2. Determine the amount of district matriculation-related expenditures for the current year exclusive of those funded by state categorical moneys.
3. Verify that actual activities from the current year can be categorized in one or more of the ten activities listed above for credit, and at a minimum, Orientation, assessment and counseling for noncredit.
4. Trace a sample of the reported expenditures to their supporting documentation.
5. For programs not impacted by the provisions of Education Code Section 84043, verify that total expenditures exceed four times the amount claimed for state reimbursement

to confirm the fulfillment of 75/25 match requirements for credit, and the dollar-for-dollar requirement for noncredit.

6. For programs impacted by the provisions of Education Code Section 84043, verify the district held a regularly scheduled public hearing including a period for public comment before any funds were redirected among designated programs. Also verify that funds were correctly redirected among designated programs. Districts exercising this funding flexibility are relieved of all state statutory, regulatory, and provisional requirements.
7. Reportable instances occur either if claimed activities are not consistent with allowable activities or if total expenditures for matriculation-related activities are not at least four times the amount of state matriculation allocation received for credit, and the dollar-for-dollar requirement for noncredit.

Records Retention

Title 5 subchapter 2.5. Retention and Destruction of Records defines what is considered a “record” and requires the governing board of each community college district to establish an annual procedure for the review and classification of records as “class 1-permanent,” “class 2-optional,” or “class 3-disposable.” Section 59022 specifies that “whenever a class 1-permanent record is photographed, microphotographed, or otherwise reproduced on film or electronically, the copy thus made is hereby classified as class 1-permanent. The original record...may be classified as class 3-disposable, and may then be destroyed in accordance with this chapter.”

Section 59023 specifies records retention requirements for class 1-permanent records, section 59024 specifies requirements for class 2-optional records, and section 59025 specifies criteria for class 3-disposable records. For definition of the records classification, please refer to the aforementioned title 5 sections.

Section 59026 delineates the records retention period: “Generally, a Class 3-Disposable record, unless otherwise specified in this subchapter, should be destroyed during the third college year after the college year in which it originated (e.g., 1993-94 plus 3 = 1996-97). Federal programs, including various student aid programs, may require longer retention periods and such program requirements shall take precedence over the requirements contained herein.

With respect to continuing records, i.e., active and useful for administrative, legal, fiscal, or other purposes over a period of years shall be kept until such usefulness has ceased 59022(d) and be reclassified as Class 1-Permanent, Class 2-Optional, or Class 3-disposable. A continuing record shall not be destroyed until the third year after it has been classified as Class 3-Disposable.”

Title 5 regulations specific to matriculation records retention are listed below:

Section 55530(e), Student Rights and Responsibilities, “Information obtained from the matriculation process shall be considered student records and shall be subject to the requirements of subchapter 6 (commencing with section 54600) of chapter 5.”

Section 55534(a), Violations, Waivers, and Appeals, “Each community college district shall establish written procedures by which students may challenge any alleged violation of the provisions of this subchapter. Districts shall investigate and attempt to resolve any such complaints in a timely manner. Such complaint procedures may be consolidated with existing student grievance procedures by action of the governing board. Records of all such complaints shall be retained for at least three years after the complaint has been resolved and shall be subject to review by the Chancellor as part of the statewide evaluation required under section 55512(c).”

Confidentiality

The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. 1232g) applies to educational agencies or institutions (e.g., a community colleges) that receive funds under any program by the U.S. Secretary of Education. (34 CFR § 99.1.) FERPA provides eligible students (i.e., those who have reached 18 years of age or attend a postsecondary institution) certain rights with respect to their education records. Education records are, with certain limited exceptions those records that are “directly related to a student; and maintained by an educational agency...” (34 CFR § 99.3.) Students have the right under FERPA to inspect and review the student’s education record and to seek to have them amended in certain circumstances. (34 CFR § 99.10 et seq.) Students also have the right to provide written consent before the postsecondary institution discloses personally identifiable information from the student’s education records, except in limited circumstances where FERPA allows disclosure without consent. (34 CFR 99.31.) Two of the limited circumstances in which FERPA does not preclude disclosure of personally identifiable information from a student’s education record without prior written consent are when the information is “directory information” or the disclosure is to “school officials, including teachers, within the agency or institution whom the agency or institution has determined to have legitimate educational interests.” (34 CFR § 99.31, subd. (a)(1) and (11). However, before the personally identifiable information can be disclosed pursuant to either exception certain conditions must be met. FERPA’s use of the term “school” includes postsecondary institutions such as community colleges. For the remainder of this handbook section, these terms are used interchangeably.

Directory Information

Before personally identifiable information, which is directory information, can be released to third parties without the student’s written consent the institution must determine whether the requested information is directory information. FERPA defines directory information as “information contained in an education record of a student that would not generally be considered harmful or an invasion of privacy if disclosed.” Examples of directory information include: the student’s name; address; telephone listing; electronic mail address; photograph; date and place of birth; major field of study; grade level; enrollment status; dates of

attendance... (34 CFR § 99.3.) However, the institution may only disclose the directory information if it has given notice to the students of:

- The types of personally identifiable information that the agency has designated as directory information,
 - The student's right to opt out of the designation of any or all of the information as directory; and
 - The time period in which the student must opt out.
- 34 CFR § 99.37, subd. (a).)

Written consent is always required if a "student's social security number or other non-directory information is used alone or combined with other data elements to identify or help identify the student or the student's records." (34 CFR § 99.37, subd. (d).)

College Official with Legitimate Educational Interest

Before personally identifiable information can be released to a school official with a legitimate educational interest, the institution must first determine whether the individual is a school official and whether the individual has a legitimate educational interest. A school official is a person employed by the institution in an administrative, supervisory, academic or research, or support staff position; a person or company with whom the institution has contracted as its agent to provide a service instead of using the institution's employees or officials; a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities for the institution. (34 CFR § 99.31, subd. (a)(1), see Model Notification of Rights under FERPA for Postsecondary Institutions, <http://www2.ed.gov/policy/gen/guid/fpco/ferpa/ps-officials.html>.)

FERPA regulations further provide that the postsecondary institution must maintain a record of each request for access to and each disclosure of personally identifiable information from the education records of each student and the legitimate interests the parties had in requesting or obtaining the information. (34 CFR § 99.32, subd. (a).) The agency or institution must maintain the record with the education records of the student as long as the records are maintained. (34 CFR § 99.32(a)(2).) Additionally, students have the right to file a complaint with the U.S. Department of Education concerning alleged failures by the postsecondary institution to comply with the requirements of FERPA.

State Law on Student Confidentiality

Generally state law imposes similar privacy and right of access requirements as FERPA. (Ed. Code § 76230 et seq. (students rights to access student records), § 76240 et seq., (privacy of student records), 5 CCR § 54600 (general privacy), and § 54610 (student access).) However, state law requires community colleges to adopt a policy identifying those categories of

directory information (as defined by FERPA) that may be released and to notify students annually (FERPA only requires one notification) of those categories of information that the district plans to release and the recipients and to provide students notice annually of their right to opt out of the release of their directory information. (Ed. Code § 76240, subd. (a)(1) and (c), 5 CCR § 54626.) Further, community college districts are limited in what information on students they may establish and maintain. (5 CCR § 54604, “Community college districts may establish and maintain only such information on students relevant to admission, registration, academic history, career, student benefits or services, extracurricular activities, counseling and guidance, discipline or matters relating to student conduct ... and such information required by law.”)

MIS Data Collection

The Chancellor’s Office Data Element Dictionary details the data elements that colleges are expected to report for matriculation. It is important for colleges to ensure that the matriculation data reported is both accurate and complete so that it can be used for institutional and statewide research efforts and inform state-level policy and budget discussions.

The data elements were last revised in July 2006. Below is a link to the Data Element Dictionary on the Chancellor’s Office website:

<http://www.cccco.edu/ChancellorsOffice/Divisions/TechResearchInfo/MIS/DED/StudentMatriculationDataElements/tabid/284/Default.aspx>

The following are excerpts from the Data Element Dictionary related to matriculation:

Student Matriculation Data Elements

The following is a list of the Matriculation data elements reported in the California Community Colleges Management Information System.

SM01 STUDENT-MATRICULATION-GOALS X(04) 14.02-03
SM02 STUDENT-MATRICULATION-MAJOR X(06) 14.04
SM03 STUDENT-MATRICULATION-SPECIAL-SERVICES-NEEDS X(14) 14.05
SM04 STUDENT-MATRIC-ORIENTATION-EXEMPT-STATUS X(04) 14.06
SM05 STUDENT-MATRIC-ASSESSMENT-EXEMPT-STATUS X(04) 14.07
SM06 STUDENT-MATRIC-COUNSEL/ADVISE-EXEMPT-STATUS X(04) 14.08
SM07 STUDENT-MATRIC-ORIENTATION-SERVICES X(01) 14.09
SM08 STUDENT-MATRIC-ASSESSMENT-SERVICES-PLACEMENT X(01) 14.010
SM09 STUDENT-MATRIC-ASSESSMENT-SERVICES-OTHER X(03) 14.011
SM10 STUDENT-MATRIC-STUDY-SKILLS-EVALUATION-SERVS DELETED 14.012
SM11 STUDENT-MATRICULATION-SPECIAL-SERVICES-REFERRAL DELETED 14.013

SM12 STUDENT-MATRIC-COUNSELING/ADVISEMENT-SERVICES X(01) 14.014

SM13 STUDENT-MATRIC-ACADEMIC-FOLLOW-UP-SERVICES X(01) 14.015

Description of Student Matriculation Data Elements

SM01 STUDENT-MATRICULATION-GOALS X(04)

This element describes the student's educational goals while enrolled in the reporting college and as they change throughout the student's academic career. This information is in addition to SB14 and is collected after that element has been recorded. The distinction between the elements is an important one: where SB14 records the initial student goal, this element documents the informed goal of the student after interaction with the matriculation process. Enter up to three goals with the primary goal entered first, then the secondary goal, then the tertiary goal.

CODING MEANING

A = Obtain an AA degree and transfer to a 4-year institution.

B = Transfer to a 4-year institution without an AA degree.

C = Obtain a two year associate's degree without transfer.

D = Obtain a two year vocational degree without transfer.

E = Earn a vocational certificate without transfer.

F = Discover/formulate career interests, plans, goals.

G = Prepare for a new career (acquire job skills).

H = Advance in current job/career (update job skills).

I = Maintain certificate or license (e.g. Nursing, Real Estate)

J = Educational development (intellectual, cultural).

K = Improve basic skills in English, reading or math.

L = Complete credits for high school diploma or GED.

M = Undecided on goal.

N = To move from noncredit coursework to credit coursework.

O = 4 year college student taking courses to meet 4 year college requirements.

X = Uncollected/unreported.

Y = Not applicable.

SM01 STUDENT-MATRICULATION-GOALS -- CONTINUED X(04)

1. This data element may be coded with "YYYY" if student is exempt from orientation, assessment, and counseling.
2. This element represents the student's informed goal after receiving matriculation services which includes the development of a Student Educational Plan (SEP)
3. Up to three goals can be specified with the primary goal listed first.
4. This element should be updated **every reporting term** to reflect the current status of the student during the reporting term.

SM02 STUDENT-MATRICULATION-MAJOR X(06)

This element identifies the student's major or **program** area of emphasis, while enrolled in the reporting college, as reported by the student during the reporting term.

Enter the TOP code of a valid program at this college (see data element SP01) which most closely matches the field or subject area in which the student is majoring/**program**. Enter at least the first four TOP code digits, left justified with trailing zeros.

1. This element identifies the student's major or program area of emphasis while enrolled in the reporting college, as reported by the student during the reporting term.
2. This data element may be coded with "YYYYYY" if the student is exempt from orientation, assessment, and counseling.
3. If the student does not have a major or program area of emphasis, code this element with "000000". Enter "XXXXXX" if the major or program is unknown.
4. This data element should be updated **every reporting term** to reflect the current status of the student during the reporting term.

SM03 STUDENT-MATRICULATION-SPECIAL-SERVICES-NEEDS X(14)

This element indicates the specialized support services needs identified by the student and/or staff through the matriculation process at the college during the reporting term. The first ten of the fourteen positions in this field refer to the following services respectively (the remaining four positions are reserved for later use):

POSITION SERVICE CATEGORIES

- 1 = Financial Aid
- 2 = Child Care
- 3 = Disabled Student Services
- 4 = Transfer Services
- 5 = Employment Assistance
- 6 = Basic Skills
- 7 = Tutoring/Supplementary Instruction
- 8 = ESL
- 9 = EOPS
- 10 = CalWORKs
- 11-14 = Reserved

In each of the first ten positions, enter one of the following status codes. (In positions 11-14, enter blanks.)

CODING MEANING

- 0 = Not recommended/needed/referred

- 1 = Recommended/needed/referred by either student or staff
- 2 = Needed as identified by the student
- 3 = Recommended/referred by staff
- 4 = Both 2 and 3
- X = Unknown
- Y = Not applicable (refer to note)

1. Positions 1-10 may be coded with 'Y's if the student is exempt from orientation, assessment, and counseling.
2. This element should be updated **every reporting term** to reflect current recommendations/referrals/needs identified during the reporting term.

SM04 STUDENT-MATRIC-ORIENTATION-EXEMPT-STATUS X(04)

This element indicates whether the student was directed to, or exempted from, matriculation orientation services at the college.

CODING MEANING

Student Directed To Orientation Services:

A = Student was directed to orientation services.

Student Exempted From Orientation Services:

D = Student has completed an Associate or higher degree.

O = Student exempted based on other district criteria.

Y = Not applicable - refer to note.

1. Indicates whether a student was directed to, or exempt from, orientation services.
2. Up to two (2) exemption reasons may be coded. Code unused positions with "Y's, i.e. if student was not exempted, code "AYYY". If student was exempted based both on possession of a degree and on other criteria, code "DOYY".

SM05 STUDENT-MATRIC-ASSESSMENT-EXEMPT-STATUS X(04)

This element indicates that the student was directed to, or exempted from, matriculation assessment testing services at the college.

CODING MEANING

Student Directed To Assessment Testing Services:

A = Student was directed to assessment testing services.

Student Exempted From Assessment Testing Services:

D = Student has completed an Associate or higher degree.

O = Student exempted based on other district criteria.

Y = Not applicable - refer to note.

1. Indicates whether a student was directed to, or exempt from, assessment services.
2. Up to two (2) exemption reasons may be coded. Code unused positions with "Y's, i.e. if student was not exempted, code "AYYY". If student was exempted based both on possession of a degree and on other criteria, code "DOYY".

SM06 STUDENT-MATRIC-COUNSELING/ADVISEMENT-EXEMPT-STATUS X(04)

This element indicates whether the student was directed to, or exempted from, matriculation counseling/advisement services at the college.

CODING MEANING

Student Directed To Counseling/Advisement Services:

A = Student is directed to counseling/advisement services.

Student Exempted From Counseling/Advisement Services:

D = Student has completed an Associate or higher degree.

O = Student exempted based on other district criteria.

Y = Not applicable - refer to note.

1. Indicates whether a student was directed to, or exempt from, advisement services.
2. Up to two (2) exemption reasons may be coded. Code unused positions with "Y's, i.e. if student was not exempted, code "AYYY". If student was exempted based both on possession of a degree and on other criteria, code "DOYY".

SM07 STUDENT-MATRIC-ORIENTATION-SERVICES X(01)

This element indicates whether the student received orientation services as a part of the matriculation process at the college.

CODING MEANING

Student Received Orientation Services:

A = Student **did** participate in Orientation services.

Student Did Not Receive Orientation Services:

N = Student **did not** participate in Orientation services.

R = Student **refused** orientation services. This code should be used only when there is a documented decision by the student to not receive the service. "No shows" should be coded "N".

1. Indicates whether a student received orientation services as part of the matriculation process.
2. If a student refuses services, it must be documented.

3. Once coded as having received services, always report the student as having received the service. *Once coded as "A" it remains as "A" in each subsequent term.*

SM08 STUDENT-MATRIC-ASSESSMENT-SERVICES-PLACEMENT X(01)

This element indicates whether the student received assessment services for placement as a part of the matriculation process of the college.

CODING MEANING

Student Received Assessment Services:

H = Student received placement services based on multiple measures **in lieu of** an assessment test.

B = Student received placement services **based on** assessment testing and multiple measures.

Student Did Not Receive Assessment Services:

N = Student **did not** participate in assessment placement services.

R = Student **refused** assessment placement services. This code should be used only when there is a documented decision by the student to not receive the service. "No shows" should be coded "N".

1. Indicates whether a student received assessment services for placement through testing or some other measures.
2. Once coded as receiving either type of placement assessment, the code is not changed unless it is to update the element to show the student has received both types of assessment services.
3. If a student refuses services, it must be documented.
4. *Once coded as "H" this element be updated to "B"; once coded as "B", it is not updated.*
5. Except as noted, this value does not change over time.

SM09 STUDENT-MATRIC-ASSESSMENT-SERVICES-OTHER X(03)

This element indicates whether the student received other supportive assessment services as a part of the matriculation process at the reporting college. The assessments below may be determined with an assessment instrument or through consultation with a counselor or academic advisor. The three positions in this field refer to the following services respectively:

POSITION SERVICE CATEGORIES

1 = Aptitude assessment

2 = Study/Learning Skills assessment

3 = Career Planning/Interest assessment

In each of the positions, enter one of the following status codes:

CODING MEANING

A = Student **did** participate.

N = Student **did not** participate.

Y = Not applicable – service not available.

1. Indicates whether a student received: Aptitude assessment, Study/Learning Skills assessment, or Career Planning/Interest assessment.
2. This element shows only those assessment services received during the reporting term.
3. This element should be updated **every reporting term** to reflect current recommendations/referrals/needs identified during the reporting term.

SM12 STUDENT-MATRIC-COUNSELING/ADVISEMENT-SERVICES X(01)

This element indicates whether the student received counseling/advisement services as a part of the matriculation process of the college during the reporting term.

CODING MEANING

Student Received Counseling/Advisement Services:

A = Student received counseling/advisement services.

P = Student received assistance in development of a Student Education Plan.

Student Did Not Receive Counseling/Advisement Services:

N = Student **did not** participate in counseling or advisement services.

R = Student **refused** counseling and advisement services. This code should only be used when there is a documented decision by the student to not receive the service. "No shows" should be coded "N".

1. Indicates whether the student received counseling or advisement services during the reporting term and also indicates the type of service provided.
2. If a student refuses services, it must be documented.
3. Counseling and advisement service refers to a substantive interaction between a counselor or advisor and a student. Report the counselor or advisor contact in this element. The counselor or advisor contact can take place during individual appointments, group appointments, classes or workshops.
4. This element should be updated **every reporting term** to reflect whether or not the student received the services described in this element during the reporting term.

SM13 STUDENT-MATRIC-ACADEMIC-FOLLOW-UP-SERVICES X(01)

This element indicates whether the student received academic follow-up services as a part of the matriculation process of the college

CODING MEANING

Student Received Academic Follow-up Services:

A = Student received academic follow-up services.

Student Did Not Receive Academic Follow-up Services:

N = Student **was not** provided academic follow-up service(s).

1. Indicates whether the student received academic follow-up services.

2. Report activity to support a student's academic progress in this element. These activities can include, but are not limited to the following examples: Dean's list notices, follow-up counseling, tutoring/mentoring, Early Alert notices, probation notices, etc.
3. This element should be updated every reporting term.

STUDENT ASSESSMENT RECORD

Reporting Domain: The following record layout indicates the format in which the districts report information on student assessment tests administered during the prior year.

Note: These data elements may frequently need to be submitted when the student is no longer enrolled or when the student took the assessment test prior to enrolling. Such assessments should be reported with the term identifier indicating the term in which the reporting occurs (the year with an annual term type [see GI03]), and with the Assessment Date (SA05) indicating the actual date of the test.

The actual test dates (SA05) reported in the file should encompass the preceding fiscal year (July 1 - June 30). For example, report the Student Assessment file with the term type of '940' with assessment test dates of July 1, 1993 through June 30, 1994. This record is 40 characters long and the first two positions contain the record code "SA". The file with these records is submitted each October 1 for the previous year.

Student Assessment Data Elements

SA01 STUDENT-ASSESSMENT-INSTRUMENT X(04) 15.02
SA02 STUDENT-ASSESSMENT-FORM DELETED 15.03
SA03 STUDENT-ASSESSMENT-ACCOMMODATION X(04) 15.04
SA04 STUDENT-ASSESSMENT-PURPOSE X(02) 15.05
SA05 STUDENT-ASSESSMENT-DATE 9(06) 15.06
SA06 STUDENT-ASSESSMENT-RAW-SCORE DELETED 15.07

These elements are to be reported for the first time October 1, 1994 for the 1993/1994 Academic Year.

Description of Student Assessment Data Elements

SA01 STUDENT-ASSESSMENT-INSTRUMENT X(04)

This element identifies the specific instrument used to assess the student.

CODING

This data element is coded with a four digit code which refers to a table of assessment instrument names.

SA03 STUDENT-ASSESSMENT-ACCOMMODATION X(04)

This element indicates the type of unusual circumstances distinguishing the administration of the assessment test.

CODING MEANING***NO SPECIAL ACCOMMODATION:***

N = The student received no special accommodation in the administration of this test.

SPECIAL ACCOMMODATION ASSOCIATED WITH THIS TEST:

T = The student was allowed extended time.

D = The student was allowed to use an assistive device such as a calculator, dictionary, etc..

A = The student was assisted by an aide such as a translator, note taker, reader, interpreter, etc..

M = Modification of an existing instrument (By modifying the score, administration, or interpretation, etc, or by translating it to another language.)

NOTE: Up to four types of special accommodation may be coded. If "N" is coded, or if less than four accommodations are coded, fill the remaining positions to the right with "Y"s

SA04 STUDENT-ASSESSMENT-PURPOSE X(02)

This element indicates the assessment purpose(s) identified at the time of administration of the test.

CODING MEANING

I = Initial placement

R = Re-test for initial placement

G = Graduation Competency (Reading, Writing, or Math)

O = Other

NOTE: Up to two purposes may be coded for each test score. Code the second position with a 'Y' if only one purpose is coded. Report assessment testing for the purposes of career planning, study skills and/or aptitude assessment in data element (SM09 Student-Matric-Assessment-Services-Other).

SA05 STUDENT-ASSESSMENT-DATE 9(06)

This element indicates the date on which the student took the assessment test.

CODING MEANING

YYMMDD where:

YY = the final two-digits of the calendar year;

MM = the two-digit month code 01-12;

DD = the two-digit day code 01-28/29/30/31

Enter '999999' if the date is unknown.

Student Equity

While not a part of the matriculation process directly, colleges are required to monitor disproportionate impact of prerequisites through their student equity plans. Title 5, section 55003(l)(2) on prerequisite policies states that a district shall “monitor progress on student equity in accordance with section 54220. Monitoring shall include:

(A)conducting an evaluation to determine the impact on student success including whether the prerequisite or corequisites has a disproportionate impact on particular groups of students described in terms of race, ethnicity, gender, age or disability, as defined by the Chancellor.

The goal of the Chancellor’s Office is to have Student Equity Plans renewed and submitted every three to five years. The Academic Senate for California Community Colleges has published several papers on the student equity planning process that provide useful background information and guidance. They can be found at: <http://asccc.org/papers/student-equity-dialog-and-access-action>.

The title 5 section on Student Equity Plans is as follows:

(a) In order to promote student success for all students, regardless of race, gender, age, disability, or economic circumstances, the governing board of each community college district shall maintain a student equity plan which includes for each college in the district:

(1) Campus-based research as to the extent of student equity in the five areas described in paragraph (2) and the determination of what activities are most likely to be effective;

(2) Goals for access, retention, degree and certificate completion, ESL and basic skills completion, and transfer; for the overall student population and for each population group of students, as appropriate. Where significant underrepresentation is found to exist in accordance with standards adopted by the Board of Governors, the plan shall include race-neutral and/or gender-neutral measures for addressing disparities in those areas, and, when legally appropriate, goals for addressing a disparity in representation of students with disabilities, and where required by federal law, race-conscious and/or gender-conscious measures for addressing a race or gender disparity;

(3) Implementation activities designed to attain the goals, including a means of coordinating existing student equity related programs;

(4) Sources of funds for the activities in the plan;

(5) Schedule and process for evaluation; and

(6) An executive summary that includes, at a minimum, the groups for whom goals have been set, the goals, the initiatives that the college or district will undertake to achieve these goals, the resources that have been budgeted for that purpose, and the district official to contact for further information.

(b) These plans should be developed with the active involvement of all groups on campus as required by law, and with the involvement of appropriate people from the community.

(c) The Board-adopted plan shall be submitted to the Office of the Chancellor, which shall publish all executive summaries, sending copies to every college and district, the chair of each consultation group that so requests, and such additional individuals and organizations as deemed appropriate.

(d) For the purposes of this section, “each population group of students” means American Indians or Alaskan natives, Asians or Pacific Islanders, Blacks, Hispanics, Whites, men, women, and persons with disabilities. A person shall be included in the group with which he or she identifies as his or her group.

Note: Authority cited: Section 70901, Education Code. Reference: Sections 66010.2, 66010.7, 66030 and 70901, Education Code.

Resources:

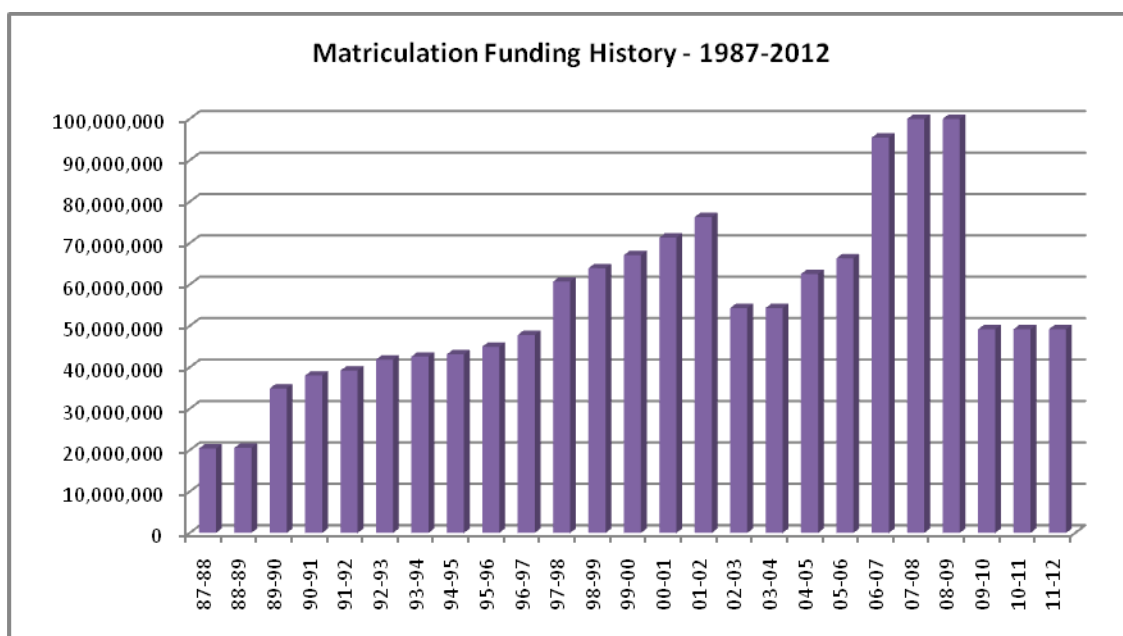
- Contracted District Audit Manual (CDAM)
<http://www.cccco.edu/ChancellorsOffice/Divisions/FinanceFacilities/FiscalServices/FiscalAccountability/ContractedDistrictAuditManual/CDAM201011/tabid/1904/Default.aspx>
- Data Element Dictionary -
<http://www.cccco.edu/ChancellorsOffice/Divisions/TechResearchInfo/MIS/DED/StudentMatriculationDataElements/tabid/284/Default.aspx>
- Chancellor’s Office Matriculation website for all reporting forms:
<http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/Matriculation/tabid/619/Default.aspx>

Chapter 4

MATRICULATION FUNDING GUIDELINES

Matriculation Funding

Since the inception of matriculation, funding was at the discretion of the state legislature. Though the premise of matriculation was well received, it was only partially funded from the very beginning and was significantly cut twice in 2002/03 and 2008/09. For credit matriculation, funding increased gradually, peaking in 2007/08 (101.8 million) but in 2008/09, the funding was reduced by 52% to 49.18 million, of which 9.38 million was dedicated to the provision of serving noncredit students. Prior to this reduction, the program also suffered a 29 % cut in 2002/03.



Matriculation Allocation Process

Prior to the 2009/10 budget cuts, the Chancellor's Office allocated credit and noncredit matriculation funds to the colleges based on Board of Governors approved allocation formulas and using the apportionment process. For credit funds, all colleges were guaranteed at least 95 percent of their previous year's allocation in order to ensure that colleges did not experience a significant loss of funds in any one given year. The noncredit program adopted a permanent allocation formula in 2001 but did not offer a guarantee of funds from year to year. Noncredit allocations fluctuated on the basis of the number of participating colleges.

NOTE: As a result of the 2009/10 budget trailer bill language, the Chancellor's Office is no longer calculating district matriculation allocations based on the BOG approved

formulas. Instead, the budget trailer bill language requires the Chancellor's Office to allocate funds to each district based on the district's proportionate share of funding using 2008/09 funding levels. As a result, allocations are determined at the district-level, requiring multi-college districts to determine how to allocate funds among colleges within their district. One suggested approach is to apply the percentages of how the district's allocation was funded for each of its colleges in 2008/09 to the current year district allocation. A copy of the 2008/09 allocations can be found at:

<http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/Matriculation/tabid/619/Default.aspx>

While categorical flexibility remains in effect through 2014/15, district matriculation allocations will continue to be calculated using 2008/09 funding levels.

When the categorical flexibility provision expires, the Chancellor's Office will resume calculating matriculation allocations based on the previous BOG-adopted funding formulas for credit and noncredit matriculation. Descriptions of the funding formulas are provided below:

Credit Matriculation Formula

The credit matriculation allocations are based on the following funding formula:

- ❑ $2.4 \times \text{new credit students} + \text{continuing credit students} + .7 \times \text{pre collegiate basic skills credit enrollments}$
- ❑ Each college receives at least 95 percent of the prior year's credit allocation for the subsequent fiscal year
- ❑ For colleges unable to generate an appreciable headcount, a minimum allocation of \$50,000 is guaranteed
- ❑ All student headcount and enrollment numbers are drawn from the districts' prior year *Management Information Systems* data submittals
- ❑ Match requirement 3:1

Noncredit Matriculation Formula

Beginning with the 2001/02 year, noncredit allocations are based on the following noncredit funding formula:

- ❑ Based 100 percent on a weighted student headcount
- ❑ The weight of .5 is assigned for students enrolled in fewer than 48 noncredit hours
- ❑ Students enrolled in 48, or more, noncredit hours are assigned a weight of 1.0
- ❑ Noncredit students who enroll in fewer than 6 credit hours at any location in the district during the year are also included in the noncredit count for allocation purposes. *Conversely, noncredit students who enroll in 6 or more credit hours during the year are excluded from the count as these students are counted in the credit matriculation allocation.*
- ❑ All students with at least one hour of attendance in a fundable course section are counted toward noncredit, unless they also attempted 6.00+ units of credit

during the year. Both student groups must be enrolled in *approved* noncredit courses over a year's time

- ❑ Match requirement 1:1
- ❑ Noncredit Matriculation funds can only be used to provide Matriculation services to students enrolled in any of the following approved courses or programs:
 - Elementary and Secondary Basic Skills;
 - English as a Second Language;
 - Disabled/Adults with Disabilities;
 - Citizenship/Immigrant;
 - Parenting; and,
 - Short-Term Vocational courses.

Note: Supervised tutoring courses are not approved for Noncredit Matriculation allocation purposes.

Apportionment Process

Matriculation funds are allocated to districts using the apportionment process. The apportionment schedule is listed below:

- **Advance Apportionment** - July
- **First Principal Apportionment (P1)** – January
- **Second Principal Apportionment (P2)** - June
- **Final Recalculation (R1):** December

Any payment corrections from prior year due to either an over payment or underpayment are made on the current year payment schedule at P1

Posting of Allocation Notices

Matriculation allocation notices are sent out via the Matriculation listserv (see Chapter 1 for listserv instructions) and are also posted on the Chancellor's Office Matriculation webpage at:

<http://www.cccco.edu/ChancellorsOffice/Divisions/StudentServicesandSpecialPrograms/Matriculation/tabid/619/Default.aspx>

Allowable Use of Funds

Matriculation funds can only be used to support and meet the costs of the matriculation service components described in title 5 Sections 51024 and 55520 and in accordance with the objectives and activities identified in the college's approved matriculation plan per title 5, Section 55510.

Noncredit matriculation requires that 90 percent of the funds be expended on direct services to students and that up to 10 percent of the allocation can be diverted to supportive costs such as equipment or research activities.

College staff must submit a request for approval to incur matriculation funds for the purchase of equipment, materials, or services not listed in the college's approved plan. Requests should be approved by the appropriate local campus Vice President or appropriate matriculation administrator prior to transmittal to the Chancellor's Office for state approval.

Expenditures Not Allowed

Matriculation funds shall *not* be expended for:

1. Staff, certificated or administrative positions that do not support the matriculation services described in the college's approved matriculation plan.
2. Indirect costs (i.e., heat, lights, power, or janitorial services).
3. Political or professional association dues or contributions.
4. Costs of construction, remodeling, renovation, furniture (not related to equipment such as computer tables and chairs) or the purchase of vehicles.
5. Costs for travel unrelated to matriculation activities or functions, or out of state of California.
6. Items of clothing, such as jackets, sweatshirts or tee shirts.

Beverages and Food

According to a Chancellor's Office legal opinion rendered in 1989, categorical funds can be used to provide food or non-alcoholic beverages for students or staff provided there is *no* local Board of Trustees policy prohibiting these costs. Additionally, the food and beverage costs must be for activities or functions consistent with the objectives of the Matriculation Program

Encumbrances

Matriculation funds can be encumbered for the purchase of equipment, supplies, etc., provided the purchase order is dated on or before June 30 of the fiscal year in which the funds were allocated. In the event that a local policy governing encumbrances has been officially adopted by the district, the terms and restrictions of that policy prevail.

Allowable and Unallowable Fees for Matriculation-Related Services

A Chancellor's Office legal opinion published as the 2010 Student Fee Handbook identifies the statutory provisions that allow community colleges to charge student fees. Statutory authority is required to charge any mandatory student fee; optional student fees or charges may, under certain circumstances, be charged under the authority of the "permissive code" as set forth in section 70902(a) of the Education Code.

The Chancellor's Office legal office has determined that "a student may only be required to pay a fee if a statute requires it (such as the enrollment fee), or if a statute specifically authorizes a district to require it (such as the health fee). In either instance, a student cannot be required to pay a fee in the absence of express legislative authority..."

For a copy of the Chancellor's Office *Student Fee Handbook*, go to the Chancellor's Office Legal Division website at:

<http://www.cccco.edu/ChancellorsOffice/Divisions/Legal/tabid/195/Default.aspx>

Matriculation-Related Fees:

Pages 33-34 of the 2010 *Student Fee Handbook*, specifically address the issue of student fees for matriculation-related services. For reference, the entirety of this section is included below:

Fees for Required or Funded Services. "It is the opinion of the Chancellor's Office that community college districts may not charge students a fee for the use of a service that the district is required to provide by state law or that the district is already funded to provide. For example, in Legal Opinion L 95-23 we concluded that a district may not charge students a fee for counseling services that the district is required to provide under Education Code section 72620 or title 5, section 51018.

Services such as graduation evaluation and general education evaluation are often performed as a counseling function, and we have determined that charges may not be made for counseling services. The Intersegmental General Education Transfer Curriculum (IGETC) evaluation is another example of an activity that districts are funded to perform and/or that is part of the counseling function. As such, fees for these services are not appropriate. Similarly, a district may not charge students an additional fee for use of health services which are already funded from student health fees collected pursuant to Education Code section 76355, or for the use of computers, computer maintenance or Internet service which were paid for by state funds which the district was either required or specifically permitted to use for these purposes.

Additionally, districts are required to graduate those students who meet applicable graduation standards, and they may not charge a graduation application fee as a condition to being able to graduate or a fee to petition for an earned degree. For the same reason, districts may not charge students for their diplomas, nor may districts charge students a mandatory fee for a diploma cover or require students to purchase a cover from the bookstore or elsewhere.

No authority exists for a general mandatory "student services fee."

There is no authority to charge a fee to students for assessment tests that are a part of the matriculation process. The matriculation allocation pays the colleges for their testing programs, so levying a charge for testing would be charging for a program that is already state supported. Similarly, it is impermissible to charge for assessments conducted as part of counseling services which are either funded through the matriculation program or required under title 5, section 51018.

A question has been raised as to whether districts may charge when students take assessment tests multiple times. If the tests are part of the matriculation or counseling programs, retesting does not change the fact that these programs are already funded or required by the state. If a test is to determine whether a student has met a course prerequisite, no fee may be charged because mandatory charges are not permissible for anything that is a condition of enrollment in a course, unless the charge is specifically required or authorized by law.

Although districts may offer retesting within their matriculation programs, they are not required to do so. A district might have a policy which provides students the option to go through initial assessment and then be tested again if they withdraw and are not enrolled for a long period of time. Retesting may also be indicated if a student can show extenuating circumstances that might have adversely affected the initial testing results (e.g., student illness, death in the student's family, etc.). Beyond such circumstances that may indicate a high potential for significant differences in the testing results, districts should consider whether multiple retesting constitutes an unnecessary expenditure of matriculation funding.

We have been advised that students from districts that do not permit multiple retesting may seek retesting from neighboring districts that offer multiple retesting options. In our view, testing and retesting services should be offered to persons who are at least admitted and preparing to enroll in the district where the testing is performed. Additionally, districts may wish to encourage student focus on assessment scores rather than test scores alone.”

Categorical Flexibility

In response to California’s fiscal crisis, Governor Schwarzenegger signed into law major revisions to the *2009-10 State Budget* on July 28, 2009. For the California Community Colleges (CCC) these revisions imposed deep funding cuts and made significant policy changes in order to provide districts with greater flexibility to manage the funding reductions.

Categorical Budget Cuts—Assembly Bill X4 1

Assembly Bill X4 1 revised the *2009-10 Budget Act* and made substantial cuts to most community college categorical programs. In order to help districts manage the deep funding cuts made in 2009-10, AB X4 2 (the education budget trailer bill) provided categorical flexibility for districts for some categorical programs, such as Matriculation. A summary of the categorical flexibility language is as follows:

- Districts are allowed to redirect funds from any of the specified categorical programs to support any other categorical program funded in the state budget.
- In order to exercise this flexibility, districts are required to annually discuss the redirection of funds at a regularly scheduled public meeting, take testimony from the public, and receive board approval.

- Districts exercising this funding flexibility are relieved of all state statutory, regulatory, and provisional requirements associated with the twelve programs contained in the flexibility category.
- For categorical programs in the flexibility category, funding allocations for each district are set at the same amount received by the district in 2008-09, less the 2009-10 cut.

When AB X 4(1) was passed, it locked the categorical flexibility provision through 2012-13. During 2011, the 2011-12 budget trailer bill was signed by the Governor further extending categorical flexibility for another two years until 2014-15.

Below is the categorical flexibility language from AB X4 2:

Excerpt From Assembly Bill X4 2

SEC. 32. Section 84043 is added to the Education Code, to read:

84043. (a) (1) Notwithstanding any other provision of law, and unless otherwise prohibited under federal law, for the 2009–10 to 2012–13 fiscal years, inclusive, community college districts may use funding received, pursuant to subdivision (b), from any of the programs listed in paragraph (2) that are contained in Item 6870-101-0001 of Section 2.00 of the annual Budget Act, for the purposes of any of the programs contained in Schedule(2) and Schedules (4) to (23), inclusive, of Item 6870-101-0001 of Section 2.00 of the Budget Act of 2009.

- (2)*
- (A) Apprenticeship.*
 - (B) Matriculation.*
 - (C) Academic Senate for the Community Colleges.*
 - (D) Equal Employment Opportunity.*
 - (E) Part-time Faculty Health Insurance.*
 - (F) Part-time Faculty Compensation.*
 - (G) Part-time Faculty Office Hours.*
 - (H) Economic Development.*
 - (I) Transfer Education and Articulation.*
 - (J) Physical Plant and Instructional Support.*
 - (K) Career Technical Education.*
 - (L) Campus Childcare Tax Bailout.*

(b) For the 2009–10 to 2012–13 fiscal years, inclusive, the chancellor shall apportion from the amounts provided in the annual Budget Act for the programs enumerated in paragraph (2) of subdivision (a), an amount to a community college district, based on the same relative proportion that the district received in the 2008–09 fiscal year for the programs enumerated in paragraph (2) of subdivision (a). The amounts allocated shall be adjusted for any greater or lesser amount appropriated for the items enumerated in paragraph (2) of subdivision (a).

(c) (1) This section does not obligate the state to refund or repay reductions made pursuant to this section. A decision by a district to reduce funding pursuant to this section for a state-mandated local program shall constitute a waiver of the subvention of funds that the district is otherwise entitled to pursuant to Section 6 of Article XIII B of the California Constitution on the amount so reduced.

(2) If a community college district elects to use funding received pursuant to subdivision (b) in the manner authorized pursuant to subdivision (a), the governing board of the district shall, at a regularly scheduled open

public hearing, take testimony from the public, discuss, and shall approve or disapprove the proposed use of funding.

(3) (A) If a community college district elects to use funding received pursuant to subdivision (b) in the manner authorized pursuant to subdivision (a), the district shall continue to report the expenditures pursuant to this section by using the appropriate codes to indicate the activities for which these funds were expended using the existing standard reporting process as determined by the chancellor.

(B) The chancellor shall collect the information in subparagraph (A) and shall provide that information to the Department of Finance and to the appropriate policy and budget committees of the Legislature on or before April 15, 2010, and annually thereafter by April 15 of each year, through 2014.

(d) For the 2009–10 to 2012–13 fiscal years, inclusive, community college districts that elect to use funding in the manner authorized pursuant to subdivision (a) shall be deemed to be in compliance with the program and funding requirements contained in statutory, regulatory, and provisional language, associated with the programs enumerated in subdivision (a).

Frequently Asked Questions about the Impact of Categorical Flexibility on Matriculation Services & Requirements

The following Q&A is intended to clarify how the categorical flexibility provisions in AB X4 1 impact the Matriculation program and reporting requirements. There are many aspects of the Matriculation process that colleges should strive to preserve, not only because they are sound educational practices, but also because they were established with emphases on access and fairness as well. The responses to the questions below apply equally to credit and noncredit Matriculation.

Q1: What does it mean for programs in the flexibility category to be “deemed in compliance” with statutory, regulatory, and provisional requirements?

A1: *If a district chooses to exercise its authority to move funds from programs in the flexibility category, then the district will be relieved of responsibility to comply with any state statutes or regulations governing the program from which the funds are being moved and for all other programs in the flexibility category. However, any funds that are not formally moved out of a program must be used for that program’s stated purpose. For example, if a district moves half its Apprenticeship funds to another categorical program and retains the other half for Apprenticeship, then the funds that remain in Apprenticeship must be spent on apprenticeship training. Districts that use flexibility will be required to report to the Chancellor’s Office the amount of funds transferred from each program and where the funds were transferred. The Chancellor’s Office will then use this information to report to the Legislature, per the trailer bill reporting requirements, about how these funds were used. The Chancellor’s Office will provide appropriate reporting forms to districts in the near future in order to collect this information.*

Q2: In order to be relieved of state statutory, regulatory, and provisional requirements, are we required to take separate actions for each of the twelve categorical programs?

A2: *No, transferring funds from any one of the categorical programs will result in the district being deemed in compliance for all twelve programs.*

Q3: Can we use the flexibility provided to transfer funds out of a categorical program and into the district's General Fund?

A3: *No, the language is clear that funds can only be transferred into other categorical programs included in the state budget.*

Q4: Can a district take a single action to move funds out of a program for all four years or is annual action required?

A4: *Because funds are appropriated for each categorical program on an annual basis, the district would need to take public action each year to transfer funds.*

Q5: What are the requirements for the public hearing?

A5: *Because the law references "a regularly scheduled open public hearing," a properly noticed open meeting of the local board of trustees would meet the requirement, provided there is an opportunity for public comment on the item before action is taken. It is clear that the Legislature intended that any fund transfers be appropriately sunshined.*

Q6: Is funding for Matriculation de-categorized?

A6: *No, the funding for Matriculation remains categorical. However, the current budget language beginning with fiscal year 2009-10 until 2013 permits colleges/districts to move money from one categorical program to another. These programs are termed flexible categorical. At that point, if districts choose to "trigger" the flexibility provision of budget language, and have followed the necessary protocols to establish flexibility, Matriculation services are no longer categorical in the sense that they must meet prescribed regulations. Colleges/districts may choose to continue to enforce Matriculation processes in components of their choice, but they will no longer be required to do so.*

Q7: Are all Matriculation services suspended or just certain services?

A7: *Please keep in mind that no Matriculation services are suspended. The regulatory authority for services that exercise flexibility will not be enforced. But the services in these districts may remain intact or minimally or severely changed or curtailed; that is a local decision.*

Q8: What about regulations that don't pertain directly to services such as the district match?

A8: *For colleges exercising flexibility, the district match will not be enforced. There are no regulations pertaining to Matriculation that will be enforced. We must keep in mind, however, that the non-enforcement of state Matriculation regulations do not carry over to other agencies or to legislation that may continue to require that services remain intact. For example, accreditation standards require that, "The institution regularly evaluates admissions and placement instruments and practices to validate their effectiveness while minimizing biases."...the institution designs, maintains, and evaluates counseling and/or academic advising*

program to support student development and success, and prepares faculty and other personnel responsible for the advising function.”

So, the college/district remains responsible for assuring that the student services policies that hold for the validation of instruments for placement and counseling meet standards that will affect the college’s accreditation.

Q9: Does the relief of matriculation mandates mean we are free to charge for placement testing now?

A9: *No. The prohibition against colleges/districts charging for placement testing does not originate in Matriculation regulations. Legal opinions from the Office of the California Attorney General, our legal division, and the Board of Governors provide that a district may only establish mandatory student fees as expressly authorized by law.*

Q10: Do we need to continue to enforce pre-requisites?

A10: *Yes. The requirements for establishing prerequisites, corequisites and advisories on recommended preparation are not found in Matriculation regulations. These are academic matters and Matriculation’s part in their establishment was to ensure that clear descriptions of what was required of students were available in student-directed publications and that challenge procedures were established and followed. But the decision to establish prerequisites and who should meet them was not Matriculation’s.*

Q11: Are we still required to submit Matriculation plans and updates?

A11: *If your college has not triggered the categorical flexibility provision, yes, you will still need to meet reporting requirements. If your college has triggered the categorical flexibility provision, we encourage colleges to submit program plans, but the college is not required to do so. We strongly encourage academic and service planning for all institutions.*

Q12: Does our college have to relax all Matriculation standards if we believe that it has served us well?

A12: *The flexibility provisions of the budget language are distinctive in two important ways: First, an action by the local board of trustees that’s specific to the intent of moving funds from one categorical program to another is required, and Second, the college/district may continue to adhere to the tenets of Matriculation if they so choose. The choice to move away from established Matriculation processes in any of its components is permitted, but not required.*

Appendix A

California Community Colleges Matriculation Statute & Regulations

Revised September 2011



**Chancellor's Office
California Community Colleges
Student Services and Special Programs Division**

Matriculation Laws: *Education Code & Title 5*

Education Code

78210. This article shall be known and may be cited as the Seymour-Campbell Matriculation Act of 1986.

78211. It is the intent of the Legislature to do all of the following:

- (a) Ensure equal education opportunity for all Californians.
- (b) Ensure that students receive the educational services necessary to optimize their opportunities for success.
- (c) Provide students with the information to establish realistic educational goals, and ensure that the matriculation process does not exclude students from receiving appropriate educational services at community colleges.

78211.5. (a) The Board of Governors of the California Community Colleges shall initially provide for full implementation of the matriculation services specified in Section 78212 in as many community colleges as the funds appropriated for this purpose allow.

(b) Because of the need to develop and evaluate data on a standard statewide basis concerning the implementation and effectiveness of the matriculation services described in this article, any college or district receiving funding under this article shall agree to carry out its provisions as specified, but shall be bound to that agreement only for the period during which funding is received pursuant to this article. The obligations of the college or district under the agreement shall include, but not be limited to, the expenditure of funds received pursuant to this article for only those matriculation services approved by the board of governors and the contribution toward the purposes of this article of matching funds as the board of governors may require pursuant to Section 78216.

78212. (a) For purposes of this article, "matriculation" means a process that brings a college and a student who enrolls for credit into an agreement for the purpose of realizing the student's educational objectives. The agreement involves the responsibilities of both parties to attain those objectives through the college's established programs, policies, and requirements.

The student's responsibilities under the agreement include the expression of at least a broad educational intent upon enrollment, the declaration of a specific educational objective within a reasonable period after enrollment, diligence in class attendance and completion of assigned coursework, and the completion of courses and maintenance of progress toward an educational goal according to standards established by the college, the district, and the state.

(b) Matriculation services to be made available by the colleges shall include, but are not limited to, all of the following:

- (1) Processing of the application for admission.
- (2) Orientation and preorientation services designed to provide to students, on a timely basis, information concerning campus procedures, academic expectations, financial assistance, and any other matters the college or district finds appropriate.
- (3) Assessment and counseling upon enrollment, which shall include, but not be limited to, all of the following:
 - (A) Administration of assessment instruments to determine student competency in computational and language skills.
 - (B) Assistance to students in the identification of aptitudes, interests and educational objectives, including, but not limited to, associate of arts degrees, transfer for baccalaureate degrees, and vocational certificates and licenses.
 - (C) Evaluation of student study and learning skills.

(D) Referral to specialized support services as needed, including, but not limited to, federal, state, and local financial assistance; health services; campus employment placement services; extended opportunity programs and services provided pursuant to Article 8 (commencing with Section 69640) of Chapter 2 of Part 42; campus child care services provided pursuant to Article 4 (commencing with Section 8225) of Chapter 2 of Part 6; programs that teach English as a second language; and disabled student services provided pursuant to Chapter 14 (commencing with Section 67300) of Part 40.

(E) Advisement concerning course selection.

(4) Postenrollment evaluation of each student's progress, and required advisement or counseling for students who are enrolled in remedial courses, who have not declared an educational objective as required, or who are on academic probation, as defined by standards adopted by the Board of Governors of the California Community Colleges and community college districts.

78212.5. Each community college district may develop and maintain all of the following within each community college in the district:

(a) Career resource and placement centers having the purposes of maintaining information on vocational, technological and educational opportunities, and facilitating career employment.

(b) Programs to instruct appropriate staff and faculty members in the performance of matriculation services.

(c) Orientation programs designed to explain to new students academic requirements and other regulations of the community college, and the available student support services.

(d) A publicity program designed to inform the community served by the community college that the purposes of the mandatory matriculation process are intended to facilitate, rather than restrict, student access to community college instruction, and to enhance each student's awareness of his or her abilities, skills, and potential.

(e) A publicity program designed to inform high schools in the community served by the community college, through orientation programs and other means, of student skill levels, and of available student support services.

78213. (a) No district or college may use any assessment instrument for the purposes of this article without the authorization of the board of governors. The board of governors may adopt a list of authorized assessment instruments pursuant to the policies and procedures developed pursuant to this section and the intent of this article. The board of governors may waive this requirement as to any assessment instrument pending evaluation.

(b) The board of governors shall review all assessment instruments to ensure that they meet all of the following requirements:

(1) Assessment instruments shall be sensitive to cultural and language differences between students.

(2) Assessment instruments shall be used as an advisory tool to assist students in the selection of an educational program.

(3) Assessment instruments shall not be used to exclude students from admission to community colleges.

(c) The board of governors shall establish an advisory committee to review and make recommendations concerning all assessment instruments used by districts and colleges pursuant to this article.

78214. (a) All participating districts shall, with the assistance of the chancellor, establish and maintain institutional research to evaluate the effectiveness of the matriculation services described by this article and of programs and services designed to remedy students' skills deficiencies.

(b) The data base for this research shall include, but not be limited to:

(1) Prior educational experience, including transcripts when appropriate, as determined by the chancellor.

(2) Educational objectives.

(3) Criteria for exemption from assessment or required counseling or advisement, if applicable.

(4) Need for financial assistance.

(5) Ethnicity, sex, and age.

(6) Academic performance.

(7) Any additional information that the chancellor finds appropriate.

(c) The evaluation provided for by this section shall include an assessment of the effectiveness of the programs and services in attaining at least the following objectives:

(1) Helping students to define their educational goals.

(2) Assisting institutions in the assessment of students' educational needs.

- (3) Matching institutional resources with students' educational needs.
- (4) Providing students with specialized support services as referred to in subdivision (b) of Section 78212.

78215. The Board of Governors of the California Community Colleges shall establish criteria for exempting students from participation in orientation, assessment testing, or required counseling or advisement under this article.

78216. (a) The Legislature recognizes that community college districts are currently funding various components of student matriculation through existing counseling, assessment, and other student services, but that adequate student matriculation cannot be realized without supplemental funding support.

(b) The board of governors shall develop a formula for funding student matriculation services at community colleges. The formula shall include the requirement that the districts or colleges contribute matching funds in an amount to be established by the board of governors in each case, and shall reflect, but not be limited to, all of the following considerations:

- (1) The number of students to receive matriculation services at each college.
 - (2) The levels of support for matriculation services provided at each college prior to July 1, 1985, and the need for funding assistance in the implementation of the program set forth in this article.
 - (3) The relative needs for matriculation services, based on special student populations such as low-income students, students with language differences, students with physical and learning disabilities, and students in need of remedial instruction.
 - (4) The requirement that funds for matriculation services be expended only for services approved by the board of governors.
 - (5) The requirement that any district or college receiving funding pursuant to this section agree to implement this article during the period in which it receives that funding.
 - (6) The need for computer hardware and software to provide approved matriculation services, and for institutional research personnel for ongoing evaluation.
- (c) The board of governors shall require participating colleges to develop a plan for student matriculation that reflects all of the following:
- (1) A method for providing the services specified in Section 78212.
 - (2) The college budget for the matriculation services pursuant to Sections 78212 and 78214.
 - (3) The development and training of staff and faculty to implement the matriculation services.
 - (4) In multicampus districts, the coordination of the college matriculation plan with other college plans.
 - (5) Computerized information services and institutional research and evaluation necessary for implementation of this article.
- (d) The board of governors may allocate up to 5 percent of the total funds appropriated for student matriculation for state administrative operations to carry out the intent of this article, subject to the review of the annual budget process.

78217. On or before March 15 of each year, the board of governors shall provide a progress report to the Legislature on the implementation of this article. The board of governors may require participating districts or colleges to provide data for the completion of these reports.

78218. In the 1986-87 fiscal year and each fiscal year thereafter, this article shall be operative only if funds are specifically appropriated for the purposes of this article.

Title 5 Regulations

Chapter 2. Community College Standards

Subchapter 1. Minimum Conditions

51006. Open Courses.

(a) The governing board of a community college district shall adopt by resolution the following or a comparable statement: "The policy of this district is that, unless specifically exempted by statute or regulation, every course, course section, or class, reported for state aid, wherever offered and maintained by the district, shall be fully open to enrollment and participation by any person who has been admitted to the college(s) and who meets such prerequisites as may be established pursuant to section 55003 of title 5 of the California Code of Regulations."

(b) The statement of policy adopted by the board pursuant to subdivision (a) shall be published in the official catalog, schedule of classes, and addenda to the schedule of classes for which full-time equivalent student (FTES) is reported for state apportionment. A copy of the statement shall also be filed with the Chancellor.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Sections 70901 and 78020 et seq., Education Code. *Last amended 5-16-2008.*

51024. Matriculation Services.

The governing board of each community college district shall:

- (a) adopt and submit to the Chancellor a matriculation plan as required under Section 55510;
- (b) evaluate its matriculation program and participate in statewide evaluation activities as required under Section 55512(c);
- (c) provide matriculation services to its students in accordance with Sections 55520 and 55521;
- (d) establish procedures for waivers and appeals in connection with its matriculation program in a manner consistent with Section 55534; and
- (e) substantially comply with all other provisions of Subchapter 6 (commencing with Section 55500) of Chapter 6 of this Division.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Sections 78210-78218, Education Code. *Last amended 5-4-92.*

Chapter 6. Curriculum and Instruction

Subchapter 1. Programs, Courses and Classes

Article I. Program, Course and Class Classification and Standards

55002. Standards and Criteria for Courses and Classes.

(a) Degree-Applicable Credit Course. A degree-applicable credit course is a course which has been designated as appropriate to the associate degree in accordance with the requirements of section 55062, and which has been recommended by the college and/or district curriculum committee and approved by the district governing board as a collegiate course meeting the needs of the students.

(1) Curriculum Committee. The college and/or district curriculum committee recommending the course shall be established by the mutual agreement of the college and/or district administration and the academic senate. The committee shall be either a committee of the academic senate or a committee that includes faculty and is otherwise comprised in a way that is mutually agreeable to the college and/or district administration and the academic senate.

(2) Standards for Approval. The college and/or district curriculum committee shall recommend approval of the course for associate degree credit if it meets the following standards:

(A) Grading Policy. The course provides for measurement of student performance in terms of the stated course objectives and culminates in a formal, permanently recorded grade based upon uniform standards in accordance with section 55023. The grade is based on demonstrated proficiency in subject matter and the ability to demonstrate that proficiency, at least in part, by means of essays, or, in courses where the curriculum committee deems them to be appropriate, by problem solving exercises or skills demonstrations by students.

(B) Units. The course grants units of credit based upon a relationship specified by the governing board between the number of units assigned to the course and the number of lecture and/or laboratory hours or performance criteria specified in the course outline. The course also requires a minimum of three hours of student work per week, including class time for each unit of credit, prorated for short-term, extended term, laboratory and/or activity courses.

(C) Intensity. The course treats subject matter with a scope and intensity that requires students to study independently outside of class time.

(D) Prerequisites and Corequisites. When the college and/or district curriculum committee determines, based on a review of the course outline of record, that a student would be highly unlikely to receive a satisfactory grade unless the student has knowledge or skills not taught in the course, then the course shall require prerequisites or corequisites that are established, reviewed, and applied in accordance with the requirements of this article.

(E) Basic Skills Requirements. If success in the course is dependent upon communication or computation skills, then the course shall require, consistent with the provisions of this article, as prerequisites or corequisites eligibility for enrollment in associate degree credit courses in English and/or mathematics, respectively.

(F) Difficulty. The course work calls for critical thinking and the understanding and application of concepts determined by the curriculum committee to be at college level.

(G) Level. The course requires learning skills and a vocabulary that the curriculum committee deems appropriate for a college course.

(3) Course Outline of Record. The course is described in a course outline of record that shall be maintained in the official college files and made available to each instructor. The course outline of record shall specify the unit value the expected number of contact hours for the course as a whole, the prerequisites, corequisites or advisories on recommended preparation (if any) for the course, the catalog description, objectives, and content in terms of a specific body of knowledge. The course outline shall also specify types or provide examples of required reading and writing assignments, other outside-of-class assignments, instructional methodology, and methods of evaluation for determining whether the stated objectives have been met by students.

(4) Conduct of Course. Each section of the course is to be taught by a qualified instructor in accordance with a set of objectives and with other specifications defined in the course outline of record.

(5) Repetition. Repeated enrollment is allowed only in accordance with the provisions of section 51002, article 4 (commencing with section 55040) of subchapter 1 of chapter 6, and section 58161.

(b) Nondegree-Applicable Credit Course. A credit course designated by the governing board as not applicable to the associate degree is a course which, at a minimum, is recommended by the college and/or district curriculum committee (the committee described and established under subdivision (a)(1) of this section) and is approved by the district governing board.

(1) Types of Courses. Nondegree-applicable credit courses are:

(A) nondegree-applicable basic skills courses as defined in subdivision (j) of section 55000;

(B) courses designed to enable students to succeed in degree-applicable credit courses (including, but not limited to, college orientation and guidance courses, and discipline-specific preparatory courses such as biology, history, or electronics) that integrate basic skills instruction throughout and assign grades partly upon the demonstrated mastery of those skills;

(C) precollegiate career technical preparation courses designed to provide foundation skills for students preparing for entry into degree-applicable credit career technical courses or programs;

(D) essential career technical instruction for which meeting the standards of subdivision (a) is neither necessary nor required.

(2) Standards for Approval. The college and/or district curriculum committee shall recommend approval of the course on the basis of the standards which follow.

(A) Grading Policy. The course provides for measurement of student performance in terms of the stated course objectives and culminates in a formal, permanently recorded grade based upon uniform standards in accordance with section 55023. The grade is based on demonstrated proficiency in the subject matter and the ability to demonstrate that proficiency, at least in part, by means of written expression that may include essays, or, in courses where the curriculum committee deems them to be appropriate, by problem solving exercises or skills demonstrations by students.

(B) Units. The course grants units of credit based upon a relationship specified by the governing board between the number of units assigned to the course and the number of lecture and/or laboratory hours or performance criteria specified in the course outline. The course requires a minimum of three hours of student work per week, per unit, including class time and/or demonstrated competency, for each unit of credit, prorated for short-term, extended term, laboratory, and/or activity courses.

(C) Intensity. The course provides instruction in critical thinking and generally treats subject matter with a scope and intensity that prepares students to study independently outside of class time and includes reading and writing assignments and homework. In particular, the assignments will be sufficiently rigorous that students successfully completing each such course, or sequence of required courses, will have acquired the skills necessary to successfully complete degree-applicable work.

(D) Prerequisites and corequisites. When the college and/or district curriculum committee deems appropriate, the course may require prerequisites or corequisites for the course that are established, reviewed, and applied in accordance with this article.

(3) Course Outline of Record. The course is described in a course outline of record that shall be maintained in the official college files and made available to each instructor. The course outline of record shall specify the unit value, the expected number of contact hours for the course as a whole, the prerequisites, corequisites or advisories on recommended preparation (if any) for the course, the catalog description, objectives, and content in terms of a specific body of knowledge. The course outline shall also specify types or provide examples of required reading and writing assignments, other outside-of-class assignments, instructional methodology, and methods of evaluation for determining whether the stated objectives have been met by students. Taken together, these course specifications shall be such as to typically enable any student who successfully completes all of the assigned work prescribed in the outline of record to successfully meet the course objectives.

(4) Conduct of Course. All sections of the course are to be taught by a qualified instructor in accordance with a set of objectives and with other specifications defined in the course outline of record.

(5) Repetition. Repeated enrollment is allowed only in accordance with the provisions of section 51002, article 4 (commencing with section 55040) of subchapter 1 of chapter 6, and section 58161.

(c) Noncredit Course. A noncredit course is a course which, at a minimum, is recommended by the college and/or district curriculum committee (the committee described and established under subdivision (a)(1) of this section) and approved by the district governing board as a course meeting the needs of enrolled students.

(1) Standards for Approval. The college and/or district curriculum committee shall recommend approval of the course if the course treats subject matter and uses resource materials, teaching methods, and standards of attendance and achievement that the committee deems appropriate for the enrolled students. In order to be eligible for state apportionment, such courses must be approved by the Chancellor pursuant to article 2 (commencing with section 55150) of subchapter 2 of this chapter and satisfy the requirements of section 58160 and other applicable provisions of chapter 9 (commencing with section 58000) of this division.

(2) Course Outline of Record. The course is described in a course outline of record that shall be maintained in the official college files and made available to each instructor. The course outline of record shall specify the number of contact hours normally required for a student to complete the course, the catalog description, the objectives, contents in terms of a specific body of knowledge, instructional methodology, examples of assignments and/or activities, and methods of evaluation for determining whether the stated objectives have been met.

(3) Conduct of Course. All sections of the course are to be taught by a qualified instructor in accordance with the set of objectives and other specifications defined in the course outline of record.

(4) Repetition. Repeated enrollment is allowed only in accordance with provisions of section 58161.

(d) Community Services Offering. A community services offering must meet the following minimum requirements:

(1) is approved by the district governing board;

(2) is designed for the physical, mental, moral, economic, or civic development of persons enrolled therein;

(3) provides subject matter content, resource materials, and teaching methods which the district governing board deems appropriate for the enrolled students;

(4) is conducted in accordance with a predetermined strategy or plan;

(5) is open to all members of the community willing to pay fees to cover the cost of the offering; and

(6) may not be claimed for apportionment purposes.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Section 70901, Education Code.
Last amended 6-15-2008.

Article 1. Program, Course and Class Classification and Standards

55003. Policies for Prerequisites, Corequisites, and Advisories on Recommended Preparation

(a) The governing board of a community college district may establish prerequisites, corequisites, and advisories on recommended preparation, but must do so in accordance with the provisions of this article. Nothing in this subchapter shall be construed to require a district to establish prerequisites, corequisites, or advisories on recommended preparation; provided however, that a prerequisite or corequisite shall be required if the course is

to be offered for associate degree credit and the curriculum committee finds that the prerequisite or corequisite is necessary pursuant to sections 55002(a)(2)(D) or 55002(a)(2)(E). Unless otherwise specified in this section, the level of scrutiny required to establish prerequisites, corequisites, and advisories on recommended preparation shall be based on content review as defined in subdivision (c) of section 55000 or content review with statistical validation as defined in subdivision (f) of this section. Determinations about prerequisites and corequisites shall be made on a course-by-course or program-by-program basis.

(b) A district governing board choosing to establish prerequisites, corequisites, or advisories on recommended preparation shall, in accordance with the provisions of sections 53200-53204, adopt policies for the following:

(1) the process for establishing prerequisites, corequisites, and advisories on recommended preparation. Such policies shall provide that in order to establish a prerequisite or corequisite, the prerequisite or corequisite must be determined to be necessary and appropriate for achieving the purpose for which it is being established.

(2) procedures to assure that courses for which prerequisites or corequisites are established will be taught in accordance with the course outline of record, particularly those aspects of the course outline that are the basis for justifying the establishment of the prerequisite or corequisite.

(3) the process to ensure that each section of the prerequisite or corequisite is to be taught by a qualified instructor and in accordance with a set of objectives and with other specifications defined in the course outline of record, as required in section 55002 for all courses.

(4) the process, including levels of scrutiny, for reviewing prerequisites and corequisites to assure that they remain necessary and appropriate. These processes shall provide that at least once each six years all prerequisites and corequisites established by the district shall be reviewed, except that prerequisites and corequisites for vocational courses or programs shall be reviewed every two years. These processes shall also provide for the periodic review of advisories on recommended preparation.

(5) the bases and process for an individual student to challenge the application of a prerequisite or corequisite.

(c) A district governing board choosing to use content review as defined in subdivision (c) of section 55000 to establish prerequisites or corequisites in reading, written expression or mathematics for degree-applicable courses not in a sequence shall first adopt a plan specifying:

(1) the method to be used to identify courses to which prerequisites might be applied;

(2) assurance that courses are reasonably available to students when prerequisites or corequisites have been established using content review as defined in subdivision (c) of section 55000. Such assurance shall include sufficient availability of the following:

(A) appropriate courses that do not require prerequisites or corequisites, whether basic skills or degree-applicable courses; and

(B) prerequisite or corequisite courses;

(3) provisions for training for the curriculum committee; and

(4) the research to be used to determine the impact of new prerequisites based on content review.

(d) Prerequisites or corequisites may be established only for any of the following purposes:

(1) the prerequisite or corequisite is expressly required or expressly authorized by statute or regulation; or

(2) the prerequisite will assure, consistent with section 55002, that a student has the skills, concepts, and/or information that is presupposed in terms of the course or program for which it is being established, such that a student who has not met the prerequisite is highly unlikely to receive a satisfactory grade in the course (or at least one course within the program) for which the prerequisite is being established; or

(3) the corequisite course will assure, consistent with section 55002, that a student acquires the necessary skills, concepts, and/or information, such that a student who has not enrolled in the corequisite is highly unlikely to receive a satisfactory grade in the course or program for which the corequisite is being established; or

(4) the prerequisite or corequisite is necessary to protect the health or safety of a student or the health or safety of others.

(e) Except as provided in this subdivision, no prerequisite or corequisite may be established or renewed unless it is determined to be necessary and appropriate to achieve the purpose for which it has been established. A prerequisite or corequisite need not be scrutinized using content review as defined by subdivision (c) of section 55000 or content review with statistical validation as defined by subdivision (f) of this section, if:

(1) it is required by statute or regulation; or

(2) it is part of a closely-related lecture-laboratory course pairing within a discipline; or

(3) it is required by four-year institutions; or

(4) baccalaureate institutions will not grant credit for a course unless it has the particular communication or computation skill prerequisite.

(f) Content review with statistical validation is defined as conducting a content review (as defined in subdivision (c) of section 55000) and the compilation of data according to sound research practices which shows that a student is highly unlikely to succeed in the course unless the student has met the proposed prerequisite or corequisite.

(g) If the curriculum committee, using content review with statistical validation, initially determines, pursuant to section 55002(a)(2)(E), that a new course needs to have a communication or computation skill prerequisite or corequisite, then, despite subdivision (e) of this section, the prerequisite or corequisite may be established for a single period of not more than two years while the research is being conducted and the final determination is being made, provided that all other requirements for establishing the prerequisite or corequisite have been met. The requirements of this subdivision related to collection of data shall not apply when the prerequisite or corequisite is required for enrollment in a program, that program is subject to approval by a state agency other than the Chancellor's Office and both of the following conditions are satisfied:

(1) colleges in at least six different districts have previously satisfied the data collection requirements of this subdivision with respect to the same prerequisite or corequisite for the same program; and

(2) the district establishing the prerequisite or corequisite conducts an evaluation to determine whether the prerequisite or corequisite has a disproportionate impact on particular groups of students described in terms of race, ethnicity, gender, age or disability, as defined by the Chancellor. When there is a disproportionate impact on any such group of students, the district shall, in consultation with the Chancellor, develop and implement a plan setting forth the steps the district will take to correct the disproportionate impact.

(h) Prerequisites, corequisites, and advisories on recommended preparation must be identified in college publications available to students as well as the course outline of any course for which they are established.

(i) By August 1 of each year districts choosing to establish prerequisites, corequisites or advisories shall submit to the Chancellor's Office in the manner specified by the Chancellor the prerequisites and corequisites that were

established during the prior academic year. Districts shall also specify the level of scrutiny, i.e., content review as defined in subdivision (c) of section 55000 or content review with statistical validation as defined in subdivision (e) of this section, used to determine whether the prerequisite or corequisite was necessary and appropriate for achieving the purpose for which it was established.

(j) Prerequisites establishing communication or computational skill requirements may not be established across the entire curriculum unless established on a course-by-course basis.

(k) The determination of whether a student meets a prerequisite shall be based on successful completion of an appropriate course or on an assessment using multiple measures, as required by section 55521(a)(3). Any assessment instrument shall be selected and used in accordance with the provisions of subchapter 6 (commencing with section 55500) of this chapter.

(l) If a prerequisite requires precollegiate skills in reading, written expression, or mathematics, the district shall:

(1) ensure that courses designed to teach the required skills are offered with reasonable frequency and that the number of sections available is reasonable given the number of students who are required to meet the associated skills prerequisites and who diligently seek enrollment in the prerequisite course.

(2) monitor progress on student equity in accordance with section 54220. Monitoring shall include:

(A) conducting an evaluation to determine the impact on student success including whether the prerequisite or corequisite has a disproportionate impact on particular groups of students described in terms of race, ethnicity, gender, age or disability, as defined by the Chancellor.

(B) where there is a disproportionate impact on any such group of students, the district shall, in consultation within the Chancellor, develop and implement a plan setting forth the steps the district will take to correct the disproportionate impact.

(m) Whenever a corequisite course is established, sufficient sections shall be offered to reasonably accommodate all students who are required to take the corequisite. A corequisite shall be waived as to any student for whom space in the corequisite course is not available.

(n) No exit test may be required to satisfy a prerequisite or corequisite unless it is incorporated into the grading for the prerequisite or corequisite course.

(o) The determination of whether a student meets a prerequisite shall be made prior to his or her enrollment in the course requiring the prerequisite, provided, however, that enrollment may be permitted pending verification that the student has met the prerequisite or corequisite. If the verification shows that the student has failed to meet the prerequisite, the student may be involuntarily dropped from the course. If the student is dropped, the applicable enrollment fees shall be promptly refunded.

Otherwise a student may only be involuntarily removed from a course due to excessive absences or as a result of disciplinary action taken pursuant to law or to the student code of conduct.

(p) Any prerequisite or corequisite may be challenged by a student on one or more of the grounds listed below. The student shall bear the initial burden of showing that grounds exist for the challenge. Challenges shall be resolved in a timely manner and, if the challenge is upheld, the student shall be permitted to enroll in the course or program in question. Grounds for challenge are:

(1) The prerequisite or corequisite has not been established in accordance with the district's process for establishing prerequisites and corequisites;

- (2) The prerequisite or corequisite is in violation of this section;
 - (3) The prerequisite or corequisite is either unlawfully discriminatory or is being applied in an unlawfully discriminatory manner;
 - (4) The student has the knowledge or ability to succeed in the course or program despite not meeting the prerequisite or corequisite;
 - (5) The student will be subject to undue delay in attaining the goal of his or her educational plan because the prerequisite or corequisite course has not been made reasonably available; or
 - (6) Such other grounds for challenge as may be established by the district governing board.
- (q) In the case of a challenge under subdivision (p)(3) of this section, the district shall promptly advise the student that he or she may file a formal complaint of unlawful discrimination pursuant to subchapter 5 (commencing with section 59300) of chapter 10 of this division. If the student elects to proceed with the challenge, completion of the challenge procedure shall be deemed to constitute an informal complaint pursuant to section 59327.
- (r) District policies adopted pursuant to this section shall be submitted to the Chancellor's Office as part of the district's matriculation plan pursuant to section 55510.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Sections 70901 and 70902, Education Code. *Last amended 4-25-2011.*

Subchapter 6. Matriculation Programs

Article I. Scope and Definitions

55500. Scope and Implementation.

- (a) This chapter implements and should be read in conjunction with the provisions of the Seymour-Campbell Matriculation Act of 1986, Statutes 1986, chapter 1467, codified as Education Code sections 78210, et seq. The purpose of this subchapter is to further equality of educational opportunity and success for all students in the California Community Colleges.
- (b) The requirements of this subchapter apply only to districts receiving funds pursuant to Education Code section 78216 for the period of time during which such funds are received.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Sections 78210-78218, Education Code. *Last amended July 17, 2007.*

55502. Definitions.

For purposes of this subchapter, the following definitions shall apply:

- (a) "Matriculation" means a process that brings a college and an enrolled student into an agreement for the purpose of realizing the student's educational goal through the college's established programs, policies, and requirements. This agreement is to be implemented by means of the student's individual educational plan developed pursuant to section 55525.
- (b) "Assessment" means the process of gathering information about individual students to facilitate student success. Assessment shall include, but is not limited to, information regarding the student's study skills, English

language proficiency, computational skills, aptitudes, goals, learning skills, career aspirations, academic performance, and need for special services. Assessment involves the collection of such information at any time before or after enrollment, except that the process by which an instructor assigns a grade or otherwise evaluates the extent to which a student has achieved the objectives of a course shall not be considered part of the assessment process. Once a grade has been assigned and recorded on a student's transcript, it can be used in the assessment process.

(c) "Assessment instruments, methods, or procedures" means one or more assessment instruments, assessment methods, or assessment procedures, or any combination thereof. These include, but are not limited to, interviews, standardized tests, holistic scoring processes, attitude surveys, vocational or career aptitude and interest inventories, high school or college transcripts, specialized certificates or licenses, educational histories and other measures of performance. The term "assessment instruments, methods, or procedures" also includes assessment procedures such as the identification of test scores which measure particular skill levels, the administrative process by which students are referred for assessment, the manner in which assessment sessions are conducted, the manner in which assessment results are made available, and the length of time required before such results are available. The term "assessment instrument" does not include a test which is used solely to determine whether a student who has formally challenged a prerequisite or corequisite pursuant to subdivision (m)(4) of section 55003 has the knowledge or ability to succeed in a course or program despite not meeting the prerequisite or corequisite.

(d) "Disproportionate impact" occurs when the percentage of persons from a particular racial, ethnic, gender, age or disability group who are directed to a particular service or placement based on an assessment instrument, method, or procedure is significantly different from the representation of that group in the population of persons being assessed, and that discrepancy is not justified by empirical evidence demonstrating that the assessment instrument, method or procedure is a valid and reliable predictor of performance in the relevant educational setting.

(e) "Exemption" means waiving or deferring a student's participation in orientation, assessment, counseling, or advisement required pursuant to subdivisions (b), (c), and (f) of section 55520.

(f) "Matriculation services" are those services listed in section 55520.

(g) "Matriculation practices" means one or more instruments, methods, or procedures, or any combination thereof, used in providing any of the matriculation services listed in section 55520.

(h) "Orientation" is a process which acquaints students and potential students with college programs, services, facilities and grounds, academic expectations, and institutional procedures.

(i) "Student follow-up" is the process of monitoring a student's progress toward his or her educational goals and providing the student with appropriate advice based on the results of such monitoring.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Sections 78212 and 78213, Education Code. *Last amended May 16, 2008.*

55510. Matriculation Plans.

(a) Each community college district shall adopt a matriculation plan describing the services to be provided to its students. The plan shall include, but not be limited to:

(1) a description of the methods by which required services will be delivered;

(2) the district's budget for matriculation;

- (3) plans for faculty and staff development;
 - (4) computerized information services and institutional research and evaluation necessary to implement this subchapter;
 - (5) criteria for exempting students from participation in the matriculation process;
 - (6) procedures for establishing and periodically reviewing prerequisites pursuant to section 55003;
 - (7) procedures for considering student challenges to prerequisites established pursuant to section 55003; and
 - (8) in districts with more than one college, arrangements for coordination by the district of the matriculation plans of its various colleges.
- (b) The plan shall be developed through consultation with representatives of the academic senate, students, and staff with appropriate expertise, pursuant to section 51023 et seq.
- (c) Such plans shall conform to the requirements of this subchapter and shall be submitted to the Chancellor for review and approval. The Chancellor may require periodic updates of such plans.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Section 78216, Education Code.
Last amended July 17, 2007.

55512. Evaluation and Audits.

- (a) Each community college district shall establish a program of institutional research for ongoing evaluation of its matriculation process to ensure compliance with the requirements of this subchapter.

As part of this evaluation, all assessment instruments, methods or procedures shall be evaluated to ensure that they minimize or eliminate cultural or linguistic bias and are being used in a valid manner. Based on this evaluation, districts shall determine whether any assessment instrument, method or procedure has a disproportionate impact on particular groups of students described in terms of ethnicity, gender, age or disability, as defined by the Chancellor. When there is a disproportionate impact on any such group of students, the district shall, in consultation with the Chancellor, develop and implement a plan setting forth the steps the district will take to correct the disproportionate impact. The evaluation shall include, but not be limited to, an analysis of the degree to which the matriculation program:

- (1) impacts on particular courses, programs, and facilities;
- (2) helps students to define their educational goals;
- (3) promotes student success, as evidenced by outcome and retention data such as student persistence, goal attainment, skill improvement, and grades;
- (4) assists the district in the assessment of students' educational needs;
- (5) matches district resources with students' educational needs; and
- (6) provides students with the support services described in section 55520(g).

(b) Each district shall also, as part of its annual financial audit, provide for a review of the revenue and expenditures of the matriculation program.

(c) The Chancellor shall establish a system for evaluation of the matriculation program on a statewide basis, including procedures for monitoring compliance with the requirements of this subchapter.

Note: Authority cited: Sections 66700, and 70901, Education Code. Reference: Section 78214, Education Code.
Last amended March 15, 2006.

55514. Data Collection.

Each community college district shall submit an annual report describing the district's efforts to implement its matriculation plan and expenditures made for that purpose. In this report, or through the established management information system or otherwise, the data to be collected for evaluation purposes pursuant to Education Code section 78214 and section 55512 of this subchapter. Such data shall specifically include, but is not limited to, the information necessary to permit the Chancellor to determine the following:

(a) the proportion of students from various ethnic, gender, age or disability groups, as defined by the Chancellor, who are placed in nondegree-applicable credit courses, degree-applicable credit courses, or transfer level courses in reading, writing, computation or English as a Second Language.

(b) the proportion of students from various ethnic, gender, age or disability groups, as defined by the Chancellor, who enter and complete nondegree-applicable basic skills courses.

(c) The proportion of students from various ethnic, gender, age or disability groups, as defined by the Chancellor, completing nondegree-applicable basic skills courses who subsequently enter and complete degree-applicable credit courses;

(d) outcome and retention data, as described in section 55512(a), indicating the effectiveness of matriculation;

(e) the basis on which the use of particular assessment instruments, methods or procedures was validated by a district;

(f) the numbers of students exempted, pursuant to section 55532, from participation in the district's matriculation program, by category of exemption;

(g) the number of students filing complaints pursuant to section 55534 and the bases of those complaints;

(h) the particular matriculation services, as listed in section 55520, which each student received; and

(i) any other matter the Chancellor, after consultation with community college districts, deems necessary for the effective evaluation of matriculation programs.

Note: Authority cited: Sections 66700, and 70901, Education Code. Reference: Section 78214, Education Code.
Last amended July 17, 2007.

55516. Training and Staff Development.

Each community college district shall develop and implement a program for providing all faculty and staff with training appropriate to their needs on the provision of matriculation services, including but not limited to, the proper purpose, design, evaluation, and use of assessment instruments, methods or procedures, as well as their limitations and possible misuse.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Section 78216, Education Code.
Last amended June 5, 1990.

55518. Funding.

- (a) The Chancellor shall adopt a funding formula, consistent with the requirements of this section, for allocating matriculation funds to community college districts complying with the requirements of this subchapter.
- (b) Each dollar of state matriculation funding shall be matched by three dollars of other district resources devoted to the matriculation program.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Section 78216, Education Code.
Last amended July 17, 2007.

Article 3. Matriculation Services

55520. Required Services.

At a minimum, each community college district shall provide students, except as exempted pursuant to section 55532, with all of the following matriculation services:

- (a) the processing of applications for admission;
- (b) orientation and pre-orientation services designed to provide nonexempt students and potential students, on a timely basis, information concerning college procedures and course scheduling, academic expectations, financial assistance, and any other matters the college or district finds appropriate;
- (c) assessment for all nonexempt students pursuant to section 55524;
- (d) counseling or advisement for nonexempt students pursuant to section 55523;
- (e) assistance in developing a student educational plan pursuant to section 55525, which identifies the student's educational objectives and the courses, services, and programs to be used to achieve them;
- (f) post enrollment evaluation, pursuant to section 55526, of each student's progress; and
- (g) referral of students to:
 - (1) support services which may be available, including, but not limited to, counseling, financial aid, health services, campus employment placement services, Extended Opportunity Programs and Services, campus child care services, tutorial services, and Disabled Students Programs and Services; and
 - (2) specialized curriculum offerings including but not limited to, pre-collegiate basic skills courses and programs in English as a Second Language.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Section 78212, Education Code.
Last amended July 6, 1990.

55521. Prohibited Practices.

- (a) In implementing matriculation services, community college districts shall not, except as provided in subdivision (b), do any of the following:

- (1) use an assessment instrument which has not been approved by the Chancellor pursuant to section 55524, except that the Chancellor may permit limited field-testing, under specified conditions, of new or alternative assessment instruments, where such instruments are not used for placement and are evaluated only in order to determine whether they should be added to the list of approved instruments;
 - (2) use any assessment instrument in a manner or for a purpose other than that for which it was developed or has been otherwise validated;
 - (3) use any single assessment instrument, method or procedure, by itself, for placement, required referral to appropriate services, or subsequent evaluation of any student; provided however that, in the case of assessment instruments, the use of two or more highly correlated instruments does not satisfy the requirement for use of multiple measures;
 - (4) use any assessment instrument, method or procedure to exclude any person from admission to a community college, except that a college may determine the admission of special part-time or full-time students under Education Code section 76002 based on an assessment which involves multiple measures and complies with other requirements of this subchapter;
 - (5) use any assessment instrument, method or procedure for mandatory placement of a student in or exclusion from any particular course or educational program, except that districts may establish appropriate prerequisites pursuant to sections 55002 and 55003; or
 - (6) use any matriculation practice which has the purpose or effect of subjecting any person to unlawful discrimination prohibited by subchapter 5 (commencing with section 59300) of chapter 10.
- (b) Notwithstanding the provisions of subdivisions (a)(1) and (2), assessment instruments approved by the Secretary of the United States Department of Education may be used to determine "ability to benefit" in the process of establishing a student's eligibility for federal financial aid pursuant to subdivision (d) of section 1091 of title 20 of the United States Code.
- (c) Notwithstanding paragraphs (1), (2), (3) or (5) of subdivision (a) or the provisions of sections 55003 or 55524, a community college district may use an assessment test to select students for its nursing program, provided that:
- (1) the district complies with all other provisions of this subchapter;
 - (2) the assessment instrument is used in conjunction with other assessment instruments, methods or procedures to select students for enrollment in the nursing program; and
 - (3) the Chancellor has determined that the assessment instrument predicts likelihood of success in nursing programs, has approved use of the assessment instrument for that purpose and has established statewide proficiency cut-off scores for that instrument pursuant to Education Code section 78261.

Note: Authority cited: Section 11138, Government Code; and Sections 66700 and 70901, Education Code.
 Reference: Section 11135, Government Code; and Sections 72011, 76002, 78211, 78213 and 78261, Education Code. *Last amended May 16, 2008.*

55522. Special Accommodations.

Matriculation services for ethnic and language minority students and students with disabilities, shall be appropriate to their needs, and community college districts shall, where necessary, make modifications in the matriculation process or use alternative instruments, methods or procedures to accommodate the needs of such students. Districts may require students requesting such accommodations to provide proof of need. Extended

Opportunity Programs and Services (EOPS) and Disabled Students Programs and Services (DSPS) are authorized, consistent with the provisions of subchapter 1 (commencing with section 56000) and subchapter 2.5 (commencing with section 56200) of chapter 7, to provide specialized matriculation services and modified or alternative matriculation services to their respective student populations. Notwithstanding this authorization, participation in the EOPS and DSPS programs is voluntary and no student may be denied necessary accommodations in the assessment process because he or she chooses not to use specialized matriculation services provided by these programs. Modified or alternative matriculation services for limited or non-English-speaking students may be provided in English as a Second Language programs.

Note: Authority cited: Section 11138, Government Code; Sections 66700, 70901 and 78213, Education Code. Reference: Section 11135, Government Code; and Sections 72011, 78211 and 78213, Education Code. *Last amended March 15, 2006.*

55523. Counseling and Advisement.

(a) If not already required to do so by the minimum standards for counseling services set forth in section 51018, each community college district shall do all of the following:

- (1) make reasonable efforts to ensure that all nonexempt students who are on probation participate in counseling as provided in section 55034;
- (2) make reasonable efforts to ensure that all nonexempt students who have not declared a specific educational goal participate in counseling to assist them in the process of selecting a specified educational goal pursuant to section 55525;
- (3) make reasonable efforts to ensure that all nonexempt students who are enrolled in nondegree-applicable basic skills courses participate in counseling or advisement; and
- (4) make available to all students, advisement or counseling on general academic requirements and the selection of specific courses by counselors or appropriately trained instructor/advisors, and/or other appropriately trained staff working in consultation with counselors.

(b) Counseling by appropriately trained counselors or advisement by appropriately trained staff may also be made available in any other area the district deems appropriate, including but not limited to, the interpretation of assessment results and the development of a student's educational plan as required by section 55525.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Section 78212, Education Code. *Last amended May 16, 2008.*

55524. Assessment.

The Chancellor shall establish and update, at least annually, a list of approved assessment instruments and guidelines for their use by community college districts. These guidelines shall identify modifications of an assessment instrument or the procedures for its use which may be made in order to provide special accommodations required by section 55522 without separate approval by the Chancellor. Such guidelines shall also describe the procedure by which districts may seek to have assessment instruments approved and added to the list. The Chancellor shall ensure that all assessment instruments included on the list minimize or eliminate cultural or linguistic bias, are normed on the appropriate populations, yield valid and reliable information, identify the learning needs of students, make efficient use of student and staff time, and are otherwise consistent with the educational and psychological testing standards of the American Educational Research Association, the American Psychological Association, and the National Council on Measurement in Education.

Note: Authority cited: Sections 66700, and 70901, Education Code. Reference: Section 78213, Education Code. Last amended June 5, 1990.

55525. Student Educational Plan.

(a) Each community college district shall establish a process for assisting students to select a specific educational goal within a reasonable time after admission as required by Section 55530 (d). This shall include, but not be limited to, the provision of counseling as required by Section 55523(a)(2).

(b) Once a student has selected a specific educational goal, the district shall afford the student the opportunity to develop a student educational plan describing the responsibilities of the student, the requirements he or she must meet, and the courses, programs, and services required to achieve the stated goal.

(c) The student educational plan developed pursuant to Subsection (b) shall be recorded in written or electronic form. The plan and its implementation shall be reviewed as necessary to ensure that it continues to accurately reflect the needs and goals of the student.

(d) If a student believes the district has failed to make good faith efforts to develop a plan, has failed to provide services specified in the student educational plan, or has otherwise violated the requirements of this Section, the student may file a complaint pursuant to Section 55534 (a).

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Section 78212, Education Code. Last amended September 6, 1994.

55526. Student Follow-up.

Each community college district shall establish a student follow-up process to assist the student in achieving his/her educational goal. The follow-up system shall ensure that the academic progress of each student is regularly monitored to detect early signs of academic difficulty and students shall be provided with advice or referral to specialized services or curriculum offerings where necessary. Districts shall also identify and refer to counseling or advisement, as appropriate pursuant to section 55523(a), any students who have not declared a specific educational goal as required by section 55530, who are enrolled in pre-collegiate basic skills courses, or who have been placed on probation.

Note: Authority cited: Sections 66700 and 70901, Educational Code. Reference: Section 78212, Education Code. Last amended June 5, 1990.

55530. Student Rights and Responsibilities.

(a) Nothing in this subchapter shall be construed to interfere with the right of a student admitted to a community college in accord with district admission policies adopted pursuant to Education Code sections 76000, et seq. to enroll in any course for which he or she can meet necessary and appropriate prerequisites, if any, which have been established pursuant to the requirements of section 55003.

(b) Community college districts shall take steps to ensure that information is available in written form to all students during or prior to enrollment (e.g., during orientation) and is included in class schedules, catalogs or other appropriate publications, describing their rights and responsibilities under this subchapter.

(c) Districts shall also take steps to ensure that the matriculation process is efficient so that students are not discouraged from participating in college programs. Whenever possible, students should be permitted to avoid additional testing by submitting scores on recently taken tests that correlate with those used by the district.

(d) Students shall be required to express at least a broad educational intent upon admission; declare a specific educational goal within a reasonable period after admission; participate in counseling or advisement pursuant to section 55523(a)(1), (2), and (3); diligently attend class and complete assigned coursework; and complete courses and maintain progress toward an educational goal according to standards established by the district, consistent with the requirements of subchapter 1 (commencing with section 55000) of this chapter. The governing board of each community college district shall adopt clear written policies not inconsistent with law, specifically defining these responsibilities of students and the consequences of failure to fulfill such responsibilities. This policy shall define the period of time within which a student must identify a specific educational goal as required by this subdivision, provided however, that all students shall be required to declare such a goal during the term after which the student completes 15 semester units or 22 quarter units of degree-applicable credit course work, unless the district policy establishes a shorter period. Once the student has developed a specific educational goal, the district must provide the student with an opportunity to develop a student educational plan pursuant to section 55525. Student responsibilities shall also be identified in the student's educational plan developed pursuant to section 55525. If a student fails to fulfill the responsibilities listed in this subdivision, fails to cooperate with the district in the development of a student educational plan within 90 days after declaring his or her specific educational goal, or fails to abide by the terms of his or her student educational plan, the district may, subject to the requirements of this subchapter, suspend or terminate the provision of services authorized in section 55520, provided however, that nothing in this section shall be construed to permit a district to suspend or terminate any service to which a student is otherwise entitled under any other provision of law.

(e) Information obtained from the matriculation process shall be considered student records and shall be subject to the requirements of subchapter 6 (commencing with section 54600) of chapter 5.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Sections 76000, 76001 and 78212, Education Code. *Last amended July 17, 2007.*

55532. Exemptions.

(a) Community college districts may elect to exempt certain students from participation in orientation, assessment, counseling or advisement, as required by subdivisions (b), (c), or (d) of section 55520. Each such district shall establish policies specifying the grounds for exemption. Such policies shall be identified in the matriculation plan required under section 55510 and the number of students so exempted shall be reported, by category, to the Chancellor pursuant to section 55514.

(b) District policies may exempt from orientation, assessment, counseling, or advisement any student who has completed an associate degree or higher.

(c) Any student exempted pursuant to this section shall be notified that he or she is covered by an exemption and shall be given the opportunity to choose whether or not to participate in that part of the matriculation process.

(d) District policies may not use any of the following as the sole criterion for exempting any student who does not wish to participate:

- (1) the student has enrolled only in evening classes;
- (2) the student has enrolled in fewer than some specified number of units;
- (3) the student is enrolled exclusively in noncredit courses;
- (4) the student is undecided about his or her educational objectives; or
- (5) the student does not intend to earn a degree or certificate.

(e) As part of the statewide evaluation provided for under subdivision (c) of section 55512, the Chancellor shall analyze and recommend necessary changes regarding the impact on the matriculation program of the exemption policies adopted by community college districts.

Note: Authority cited: Sections 66700, 70901, and 78215, Education Code. Reference: Section 78215, Education Code. *Last amended June 15, 2008.*

55534. Violations, Waivers and Appeals.

(a) Each community college district shall establish written procedures by which students may challenge any alleged violation of the provisions of this subchapter. Districts shall investigate and attempt to resolve any such complaints in a timely manner. Such complaint procedures may be consolidated with existing student grievance procedures by action of the governing board. Records of all such complaints shall be retained for at least three years after the complaint has been resolved and shall be subject to review by the Chancellor as part of the statewide evaluation required under section 55512(c).

(b) When a challenge contains an allegation that a community college district has violated the provisions of section 55521(a)(6), the district shall, upon completion of the challenge procedure established pursuant to this section, advise the student that he or she may file a formal complaint of unlawful discrimination pursuant to subchapter 5 (commencing with section 59300) of chapter 10. Completion of the challenge procedure shall be deemed to be an effort at informal resolution of the complaint under section 59327.

Note: Authority cited: Section 11138, Government Code; Sections 66700 and 70901, Education Code. Reference: Sections 11135-11139.5, Government Code; Sections 78211 and 78213, Education Code. *Last amended March 15, 2006.*

Article 5. Attendance Accounting Standards

58051. 5. Reports for Apportionment; Prohibited Classes.

(a) No community college district may claim for purposes of state apportionment any classes:

(1) if the district receives full compensation for direct education costs for the class from any public or private agency, individual or group of individuals; or

(2) if the public or private agency, individual or group of individuals, with whom the district has a contract and/or instructional agreement, has received from other sources full compensation for the direct education costs for the conduct of the class; or

(3) if such classes are not located in facilities clearly identified in such a manner, and established by appropriate procedures, to ensure that attendance in such classes is open to the general public, except that students may be required to meet prerequisites which have been established pursuant to sections 55002 and 55003.

(b) For classes that are not fully funded under contracts identified in paragraph (a)(2) and are claimed for apportionment purposes, the community college district shall require the contracting entity to certify that the direct education costs of the activity are not being fully funded through other sources.

Note: Authority cited: Sections 70901 and 84752, Education Code. Reference: Sections 70901 and 84752, Education Code. *Last amended May 16, 2008.*

Subchapter 2. Station on State Aid

Article 1. Open Classes

58106. Limitations on Enrollment.

In order to be claimed for purposes of state apportionment, all courses shall be open to enrollment by any student who has been admitted to the college, provided that enrollment in specific courses or programs may be limited as follows:

(a) Enrollment may be limited to students meeting prerequisites and corequisites established pursuant to section 55003,

(b) Enrollment may be limited due to health and safety considerations, facility limitations, faculty workload, the availability of qualified instructors, funding limitations, the constraints of regional planning or legal requirements imposed by statutes, regulations, or contracts. The governing board shall adopt policies identifying any such limitations and requiring fair and equitable procedures for determining who may enroll in affected courses or programs. Such procedures shall be consistent with one or more of the following approaches:

(1) limiting enrollment to a "first-come, first-served" basis or using other nonevaluative selection techniques to determine who may enroll; or

(2) limiting enrollment using a registration procedure authorized by section 58108; or

(3) in the case of intercollegiate competition, honors courses, or public performance courses, allocating available seats to those students judged most qualified; or

(4) limiting enrollment in one or more sections of a course to a cohort of students enrolled in one or more other courses, provided however, that a reasonable percentage of all sections of the course do not have such restrictions; or

(5) limiting enrollment using any selection procedure expressly authorized by statute; or

(6) with respect to students on probation or subject to dismissal, the governing board may, consistent with the provisions of sections 55031 and 55032, limit enrollment to a total number of units or to selected courses, or require students to follow a prescribed educational plan.

(c) A student may challenge an enrollment limitation established pursuant to subdivision (b) on any of the following grounds:

(1) the enrollment limitation is either unlawfully discriminatory or is being applied in an unlawfully discriminatory manner;

(2) the district is not following its policy on enrollment limitations;

(3) the basis upon which the district has established an enrollment limitation does not in fact exist; or

(4) any other criteria established by the district.

(d) The student shall bear the burden of showing that grounds exists for the challenge. Challenges shall be handled in a timely manner, and if the challenge is upheld, the district shall waive the enrollment limitation with respect to that student.

(e) In the case of a challenge under subdivision (c)(1), the district shall, upon completion of the challenge procedure, advise the student that he or she may file a formal complaint of unlawful discrimination pursuant to subchapter 5 (commencing with section 59300) of chapter 10. Completion of the challenge procedure shall be deemed to be an effort at informal resolution of the complaint under section 59327.

Note: Authority cited: Sections 66700 and 70901, Education Code. Reference: Section 70901, Education Code.
Last amended May 16, 2008.

Subchapter 6. Student Fees

Article I. Enrollment Fee and Differential Enrollment Fee

58508. Refunds.

(a) A community college district governing board shall refund upon request any enrollment fee paid by a student pursuant to section 58501 for program changes made during the first two weeks of instruction for a primary term-length course, or by the 10 percent point of the length of the course for a short-term course.

(b) A student shall be allowed at least two weeks from the final qualifying date of the program change specified in subdivision (a) to request an enrollment fee refund.

(c) A community college district shall not refund any enrollment fee paid by a student for program changes made after the first two weeks of instruction for a primary term-length course, or after the 10 percent point of the length of the course for a short-term course, unless the program change is a result of action by the district to cancel or reschedule a class or to drop a student pursuant to subdivision (l) of section 55003 where the student fails to meet a prerequisite.

(d) When refunding an enrollment fee pursuant to subdivision (a), a community college district may retain once each semester or quarter an amount not to exceed \$10.00.

(e) If the district has adopted a withdrawal policy pursuant to section 55024, any student who is a member of an active or reserve United States military service, and who has withdrawn from courses due to military orders, may file a petition with the district requesting refund of the enrollment fee. The district shall refund the entire fee unless academic credit has been awarded.

(f) Prior to refunding any enrollment fee or tuition, the district may determine if the student received federal Title IV funds during the term of enrollment. If funds were received, the refund may be held for up to 30 days while the district determines if any institutional or student return to the federal Title IV programs is due under Section 485 of the Higher Education Amendments of 1998, P.L. 105-244. If a return is deemed to be required, the amount of enrollment fee refund may first be used to meet any return obligation of the district and, if an amount of enrollment fee refund remains after the district obligation has been met, that amount may be used to meet any return obligation of the student. If an enrollment fee refund amount remains after all return obligations have been met, the student shall receive the remainder.

Note: Authority cited: Sections 66700, 70901 and 76300, Education Code. Reference: Section 76300, Education Code. *Last amended May 16, 2008.*

**CALIFORNIA COMMUNITY COLLEGE CHANCELLOR'S OFFICE
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Chuen Chan

Regions 5,6,& 7

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Region 1	Region 2	Region 3	Region 4	Region 5
Butte	American River	Alameda	Cabrillo	Bakersfield
Feather River	Cosumnes River	Berkeley City	Chabot	Columbia
Lassen	Folsom Lake	Canada	DeAnza	Fresno City
Redwoods	Lake Tahoe	Contra Costa	Evergreen Valley	Merced
Shasta	Mendocino	Diablo Valley	Foothill	Modesto
Siskiyou	Napa	Laney	Gavilan	Porterville
	Sacramento City	Los Medanos	Hartnell	Reedley
	Sierra	Marin	Las Positas	San Joaquin Delta
	Solano	Merritt	Mission	Sequoias
	Woodland	San Francisco City	Monterey Peninsula	West Hills Coalinga
			Ohlone	West Hills Lemoore
	Yuba	San Mateo	San Jose City	Modesto
		Santa Rosa		
		Skyline	West Valley	
Region 6	Region 7	Region 8	Region 9	Region 10
Allan Hancock	East Los Angeles	Cerritos	Barstow	Cuyamaca
Antelope Valley	El Camino	Citrus	Cerro Coso	Grossmont
Canyons	El Camino-Compton Center	Coastline	Chaffey	Imperial Valley
Cuesta	Glendale	Cypress	Copper Mountain	MiraCosta
Moorpark	L.A. City	Fullerton	Crafton Hills	Palomar
Oxnard	L.A. Harbor	Golden West	Desert	San Diego City
Santa Barbara	L.A. Mission	Irvine Valley	Moreno Valley	San Diego Mesa
Taft	L.A. Pierce	Long Beach	Mt. San Jacinto	San Diego Miramar
Ventura	L.A. Southwest	Mt. San Antonio	Norco	Southwestern
	L.A. Trade-Tech	Orange Coast	Palo Verde	
	L.A. Valley	Rio Hondo	Riverside City	
	Pasadena City	Saddleback	San Bernardino	
	Santa Monica	Santa Ana	Victor Valley	
	West L.A.	Santiago Canyon		

**California Community Colleges
Matriculation Advisory Committee
2011**

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7. Region 7	Phyllis Braxton Los Angeles Pierce College	818.610.6567		BraxtoPD@piercecollege.edu
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Community College Matriculation Program Regions

Region 1

Coordinator: *Kevin O'Rorke, Shasta*

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|-----------------|------------|
| • Butte | • Siskiyou |
| • Feather River | |
| • Lassen | |
| • Redwoods | |
| • Shasta | |

Region 2

Coordinator: *Brenda Thames, American River*

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| • American River | • Sierra |
| • Cosumnes River | • Solano |
| • Folsom Lake | • Yuba |
| • Lake Tahoe | |
| • Mendocino | |
| • Napa Valley | |
| • Sacramento City | |

Region 3

Coordinator: *Ruth McMullen, Santa Rosa*

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| • Alameda | • Merritt |
| • Canada | • San Francisco |
| • Contra Costa | • San Mateo |
| • Diablo Valley | • Santa Rosa |
| • Laney | • Skyline |
| • Los Medanos | • Berkeley City |
| • Marin | |

Region 4

Coordinator: *Margery Regalado-Rodriguez, Cabrillo College*

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| • Cabrillo | • Las Positas |
| • Chabot | • Mission |
| • DeAnza | • Monterey Peninsula |
| • Evergreen Valley | • Ohlone |
| • Foothill | • San Jose City |
| • Gavilan | • West Valley |
| • Hartnell | |

Region 5

Coordinator: *Melissa Raby, Columbia College*

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| • Bakersfield | • Porterville |
| • Columbia | • Reedley |
| • Fresno City | • San Joaquin |
| • Merced | • Sequoias |
| • Modesto | • West Hills |

Region 6

Coordinator: *Chelley Maple, Canyons*
(Roslyn Haley, Antelope Valley, Fall '10)

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|-------------------|----------------------|
| • Allan Hancock | • Oxnard |
| • Antelope Valley | • Santa Barbara City |
| • Canyons | • Taft |
| • Cuesta | • Ventura |
| • Moorpark | |

Region 7

Coordinator: *Phyllis Braxton, LA Pierce*

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|------------------|-----------------|
| • Compton Center | • LA Pierce |
| • East LA | • LA Southwest |
| • El Camino | • LA Trade-Tech |
| • Glendale | • LA Valley |
| • LA City | • Pasadena City |
| • LA Harbor | • Santa Monica |
| • LA Mission | • West LA |

Region 8

Coordinator: *Renee DeLong Chomiak, Cerritos*

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|-----------------|-------------------|
| • Cerritos | • Long Beach City |
| • Citrus | • Mt. San Antonio |
| • Coastline | • Orange Coast |
| • Cypress | • Rio Hondo |
| • Fullerton | • Saddleback |
| • Golden West | • Santa Ana |
| • Irvine Valley | • Santiago Canyon |

Region 9

Coordinator: *JoAnna Quejada, Mt. SAC*

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|-------------------|------------------|
| • Barstow | • Palo Verde |
| • Cerro Coso | • Riverside City |
| • Chaffey | • San Bernardino |
| • Copper Mountain | • Victor Valley |
| • Crafton Hills | • Moreno Valley |
| • Desert | • Norco |
| • Mt. San Jacinto | |

Region 10

Coordinator: *Joi Lin Blake, San Diego Mesa*

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|-------------------|---------------------|
| • Cuyamaca | • San Diego City |
| • Grossmont | • San Diego Mesa |
| • Imperial Valley | • San Diego Miramar |
| • Mira Cosa | • Southwestern |
| • Palomar | |



California Community Colleges Chancellor's Office Matriculation Advisory Committee

2010-11

Name of Committee

The California Community Colleges Chancellor's Office Matriculation Advisory Committee (MAC)

Purpose of the Committee

The purpose of the Matriculation Advisory Committee is to solicit the advice of committee members on state policy development, program implementation, and identification of effective practices to meet the diverse needs of California's community college students. Committee members also disseminate information about Matriculation program discussed during advisory committee meetings within their region, association or constituency.

Committee Composition

The Matriculation Advisory Committee is comprised of 18 appointed members, which represent 6 consultation groups within the community college governance system such as the statewide Academic Senate, Chief Student Services Officers, Chief Instructional Officers, Chief Executive Officers and assessment and counseling organizations. Twelve regionally-elected matriculation coordinators (Regional Representatives) representing credit and noncredit programs also serve on this vital committee.

Members are appointed by their region or constituency to two-year terms, and serve in an advisory capacity to the Chancellor's Office. The MAC is co-chaired by a committee member and the Chancellor's Office Matriculation Unit staff.

MAC members are instrumental in providing feedback on state Matriculation policy and program administration and are an essential operational link between the Chancellor's Office and the community college regions. It is the responsibility of the regional and Consultation group representatives to ensure that recommendations affecting policy and implementation of Matriculation components and processes are communicated to their local constituents in the colleges.

Committee Structure

The committee is expected to meet once per quarter (four times per year), with ongoing communications provided by the Chancellor's Office to MAC members on an as needed basis.

The co-chairs have responsibility for calling meetings, developing agendas with member input and providing summary notes following each meeting. This is intended to be a working committee with frequent communication and meetings to ensure completion of the goals and objectives listed in the

Matriculation Program Strategic Plan and to ensure timely communication to college administrators and staff on state Matriculation-related policy and program issues.

Selection and Terms of Members

1. **Terms of Regional Representatives:** Terms will be for two years.
2. **Selection of Regional Representatives:** Representatives will be selected by a vote within each region, to be held when needed. Each region will determine a method of nomination and each college within the region will have one vote. New terms will begin in August or, in the event of a mid-year vacancy, the new term will begin with the appointment of the regional representative.
3. **Terms of Consultation Group Representatives:** Consultation group representatives (CSSO, Student Senate, ASCCC, etc.) serve two-year terms and may serve multiple terms depending on the requirements of the appointing organizations.
4. **Selection of Consultation Group Representatives:** Representatives will be selected by the groups they represent. Matriculation Unit staff will initiate recruitment when a vacancy occurs.

Roles of Advisory Committee Members

1. **All Members:** All members are expected to attend the 4 annual meetings at the Chancellor's Office, or participate via phone/telecommunication methods. Additional meetings may be scheduled as appropriate. Members are expected to contribute at the meetings, participate in work groups and represent the needs/concerns of their region or program. The Chancellor's Office will cover travel costs.
2. **Regional Representatives:** The Regional Representatives will meet with their regions following each Advisory Committee meeting and will review the information discussed. In addition, the Representatives will act a resource within their regions, and will carry regional concerns and questions back to the Advisory Committee.
3. **Consultation Group Representatives:** Consultation group representatives act as resources to the Advisory Committee in their fields of expertise, and will help the group understand/determine program issues/recommendations in relationship to other college programs and services.
4. **Selection of Co-Chair:** A Regional Representative will be selected by the Advisory Committee to serve as Co-Chair for a one-year term. The selection will be by nomination at the final Spring meeting and then by majority vote, one vote per Representative. The votes will be collected by the current Co-Chair and announced at the first meeting of the Fall semester. The Co-Chair may serve multiple terms.
5. **Responsibilities of Co-Chair:** The Co-Chair will work with the Chancellor's Office Matriculation Coordinator to develop meeting agendas and will co-facilitate the meetings. The Co-Chair will appoint an alternate if he/she is unable to attend a meeting. The Co-Chair will

also represent the group as necessary and will play a lead role in working with the Chancellor's Office staff in support of the Matriculation Program.

6. **Selection and Duties of Recorder:** This responsibility will be rotated among the membership. The Co-Chair will designate a recorder at each meeting if there are no volunteers. The goal is to issue a summary of issues discussed during the committee meeting soon after the meeting is held (two weeks).
7. **Selection and Duties of Work Group Members:** The Advisory Committee may establish work groups to address special issues. Members may volunteer for the groups; the Co-Chair may also appoint members. Work groups will designate responsibilities among themselves and will report back to the full Advisory Committee at meetings and via email.

Decision-making

The Advisory Committee will make decisions by consensus at meetings. If consensus cannot be reached, a majority rules vote will be taken. If a decision or recommendation must be made outside of a meeting, the Co-Chair or designee will ask each Regional Representative to poll their region and return a single vote. Program Representative will each have a single vote. Because of the importance of group discussion, the Committee will avoid these poll votes and will use this system only when absolutely necessary.



California Community Colleges Chancellor's Office Advisory Group on Counseling

2010-11

Name of Committee

The Chancellor's Office Advisory Group on Counseling (COAGC)

Purpose of the Committee

The purpose of the COAGC is to facilitate positive student outcomes by identifying and disseminating innovative and cost-effective counseling strategies, tools and models to assist colleges with meeting the high student demand for counseling. In addition, the COAGC serves as a forum to help the Chancellor's Office in its efforts to seek sufficient funding to address the counseling needs of community college students. The committee is advisory to the Chancellor's Office.

Committee Composition

The committee will be co-chaired by a representative of the Chancellor's Office Student Services Division and a counseling faculty representative appointed by the Statewide Academic Senate. In addition to the co-chairs, the Committee is comprised of nine members:

- Five counseling faculty members appointed by the Statewide Academic Senate*
- One representative of the California Community College Counseling Association
- One Chief Student Services Officer, appointed by the Executive Board of the Chief Student Services Officers Association
- One Student Services Dean Responsible for Overseeing Counseling
- One Student, appointed by the Statewide Student Senate

**All efforts should be made to ensure that counseling faculty members appointed to the COAGC represent the diversity of California's community colleges in terms of geography, college size, and the various Student Services program areas that provide counseling services to students, including Transfer, DSPS and EOPS, as well as individuals who have a particular expertise in working with special populations such as veterans.*

COACC members will be appointed for a two-year term with the understanding that Academic Senate appointments are one-year in length, but can be renewed.

Committee Structure

The committee will meet as often as necessary to accomplish the expected outcomes identified below.

The chair will have responsibility for calling meetings, developing agendas with member input and providing summary notes following each meeting. This is intended to be a working

committee with frequent communication and meetings to ensure completion of the expected outcomes listed below in a timely manner.

Expected Outcomes

- Survey community colleges for cost-effective student counseling delivery methods that show promise, and research similar national and state counseling delivery methods, including on-line delivery tools.
- Evaluate results of survey work to identify the most promising strategies, tools and/or models that would help colleges provide counseling services more efficiently.
- Develop effective mechanisms for broadly sharing results of the identification and evaluation of promising, cost-effective counseling methods, such as a webpage, on-line database, and/or regional and statewide workshops.
- Collect research data related to counseling contact/intervention and student success, and disseminate that data to help inform policy.
- Develop a plan to seek additional resources to support the provision of counseling services for California Community College students.

MULTIPLE MEASURES AND OTHER SORROWS
A GUIDE FOR USING STUDENT ASSESSMENT INFORMATION WITH
OR INSTEAD OF TEST SCORES

CHANCELLOR'S OFFICE FOR CALIFORNIA COMMUNITY
COLLEGES

MARCH 1998

PREFACE

One of the more perplexing aspects of matriculation assessment appears to be the manner in which different sources of student information can be used during the process of placing students into college curricula. Matriculation regulations require that assessment be a holistic process, meaning, substantially, that a test score alone should not be the sole criterion for determining the advice given to students regarding their course and program placements (Title 5, 55502, 555521).

This guide is intended to provide a discussion of the value of applying *multiple* measures during the placement process and to attempt to distinguish between, the types of companion measures used with tests and their utility in this process. Dependent upon the objective, it is as challenging to choose the most useful measure for basing placement advice as it is to choose the most useful test instrument.

For many who have been a part of the matriculation process at their colleges or districts for a relatively long time, there may not be a lot of information in this guide that new or untried. It is hoped that there will be sufficient discussion here to prove useful information for everyone, to one extent or another, But this guide has been primarily written for the person new to matriculation as a Coordinator or Director. It is hoped too that the information here will help to explain the multiple measure requirement to faculty, administrators and staff who have not had previous matriculation experience.

Choosing appropriate companion measures for assessment placement advice requires the cooperation and understanding of the entire college community. Students rely upon our collegial understanding of what will best benefit them when making their course and program choices. Placement advice should not be made in isolation, that is, because multiple measures are required during the assessment of students shouldn't mean that they are forced upon faculty, staff and students by state or college administrators; it should mean that they are selected in thoughtful processes in which every appropriate person on campus is engaged.

This guide on multiple measures is not a panacea for "fixing" the assessment process. Local decision-making is still the nexus for ensuring effective placement. This is a discussion of what part companion measures to a test can play in this process. It may be a start to an exchange on campus that may not yet be fully developed. Throughout this document, the terms "multiple measures", "comprehensive assessment", and "companion measures" are used interchangeably.

Multiple Measures --- For Whv??

Since the passage of the authorizing legislation for Matriculation (Assembly Bill 3, Seymour-Campbell) in 1986, one of the most confounding of its stipulations has been the requirement that placement of students into college curricula be based upon more than one measure. Though the term does not exist in any formal documents (AB 3 or Title 5 regulations), we have termed the requirement to use multi-sourced information for student placement as *multiple measures*.

The central purpose of matriculation assessment is to help students to succeed in their educational courses and programs and to give the colleges an opportunity to base their educational recommendations to students on relevant information. Assessment is a comprehensive process and, as such, is student, rather than institution-driven.

While there is little doubt that a well-chosen, valid and reliable test instrument will provide important information concerning basic skills needs, the objectives of matriculation, as seen in AB 3 and Title 5 regulations, is more ambitious than that. Multiple measure assessment hopes to make possible a fuller description of the student than does testing.

Multiple measure assessment should assist placement of students into the curriculum as opposed to the selection of students that “fit” existing educational opportunities and rejecting students who do not “fit.” The open door admission policies of the California community college system makes this kind of placement possible. Colleges have already identified the need for and developed a myriad of supportive services and they can be valuable to meeting the needs of diverse students. It is the structuring of the process that makes access to appropriate courses, programs and services that challenges the colleges. But this challenge is significantly mitigated by the use of multiple measure assessment.

Comprehensive assessment does many things: 1) It provides for equitable opportunity for all students since it assists students to choose their educational programs based upon a substantial student profile; 2) It allows for the input of students, staff and faculty in the decisions affecting choice of appropriate companion measures to be used in the placement process; 3) It can serve as the basis for the development of the Student Educational Plan which should guide the student throughout her tenure in the college; 4) It can improve the college’s understanding and treatment of student; and, 5) It helps the testing program by identifying areas in which the delivery of supportive services and instructional treatments may be applied to meet emerging student needs.

Curriculum and student service can certainly be affected by multiple measure assessment. Students benefit by responses to their needs being appropriate to their goals. Although students understand when they are being tested and expect to “pass or fail,” they do not always understand when they are being assessed. They are far greater participants in their assessment than in their testing. For this reason, the reasons for and expected outcomes of multiple measure assessment should be made clear to the students. The concepts of success and skill-building may be of great benefit when explaining the comprehensive assessment process to the students.

Placement advice is less likely to be followed by a student who does not understand the placement process and agrees that it is reasonable. And it should be understood too that students are not exempted from assessment when they are exempted from testing. Comprehensive assessment

does not rely on the single test score for course choice; but, rather, a full student portrait. These student profiles should also enable the institution to address certain decision-making opportunities involving curriculum and services as well.

The value of multiple measure assessment to the college is substantial as well. Administrative and instructional decision-making can be greatly affected by the analysis of data culled from assessment results and placement histories. The allocation of resources can also be modified due to the use of assessment data that may exemplify the need for increased sections of a certain course or the impact of particular supportive services.

Why Testing Isn't Enough

A great deal of time and resources are used in this country to develop and administer test instruments, for a number of objectives, for the nation's students in elementary, secondary and post-secondary institutions. Testing and being tested is something that we are all familiar with, and for the most part, we have grown accustomed to it and are somewhat comfortable with it; or at least, we've learned to expect and accept it. For matriculation purposes, however, the public California community colleges have been engaged in a kind of reform "movement" in which testing is seen as an integral but not absolute aspect of assessment.

Tests are fallible. Regardless of how well they've been crafted, any test instrument will yield scores that will turn out lower than they should. True, it could be argued that it is the underprepared student who "scores" low and therefore the test accomplished its task; it identified the student's academic weakness. There is no question that tests can be useful and serve a legitimate role in community college assessment. Still, tests are also representations of the culture and experiences of the test developers. This is not necessarily a bad thing, but it is inevitable. The possibility of misclassifying students and potential students who do not share this culture or experience is very real, and it is not altogether true that those students could not or would not succeed if enrolled in courses or programs that their test scores counter-indicated they could expect to succeed in. One major reason for this is that tests do not take into account the determination of some students to succeed, nor do they share a relationship with the many other factors associated with student success such as seeking help from instructors, peer and professional tutoring, study habits, cooperation with other students in the class and so forth.

The National Research Council has asserted that "even carefully designed test instruments may include some degree of cultural bias that artificially lowers the tested performance" of some ethnic groups when compared to that of dominant culture students. With California's growing diverse student ethnic student population, this is an important consideration. Differential group performance in testing is also affected by economic and educational factors.

It is important to note too that cut scores are arbitrary, especially at the onset of using a new test. Even when they have been set by using and analyzing collected evidence, they are often based upon final grades, which may have been affected by one or more of the confounding variables mentioned above. At that point, they may very well represent the "best" guess, but they are still relatively arbitrary. So students who can perform well in a course can score below the cut, score for that course and be denied access to that course if the test score were the only measure for making placement advice.

The legislation and regulations that created and govern the matriculation process identify assessment as advisory, meaning that the ultimate decision for choosing to enroll in a particular course or program should rest with the student. However, as more colleges implement prerequisites into their curricula, the choice to enroll is increasingly limited. It's also true that, left on their own, students will not always make the correct choice. They sometimes underestimate the rigor of the courses they choose and overestimate their preparedness. One common finding of the matriculation technical assistance visits to the colleges over the years is that students often make their own choices based solely on the test scores they were given, and most stated that they did not believe that the advice they were given regarding their enrollment was based on anything but the test score. Multiple measures have, not been fully implemented in many colleges, and this may very well affect the value of testing by not allowing students, faculty and staff to be fully informed regarding students' readiness to enroll in more ambitious courses and programs.

So you have a test you like, you've done the validation on content and cut scores, and you've reviewed the instrument for bias and you have a plan for monitoring it for disproportionate impact. So now what do you gotta do??

Two Instrument in Harmony?

It may very well be true that there is an overreliance on using tests in many colleges. Certainly there is a certain amount of comfort associated with testing. It is a familiar way to assess students and, on the face of it, it seems to be a scientific way to reach some conclusions about a student's readiness for placement. This guide is not a harangue against testing, but the requirement that multiple measures be used in matriculation assessment does bring up the question of whether or not there is any regulatory prohibition against using multiple measures resulting from the administration of two or more tests.

Title 5 does not prohibit using two tests. It does, though, prohibit two or more tests that are *highly correlated*. When tests are highly correlated, they are essentially testing the same skills or knowledge. Therefore, you wouldn't really have multiple measures, you would have two instruments yielding the same information. Faculty at the Center for Educational Testing and Evaluation at the University of Kansas (assessment consultants to the Chancellor's Office) have identified a correlation of .75 or higher as the standard for determining whether or not two or more instruments are highly correlated.

Additionally, there is some evidence that, generally speaking, there are greater gains in predictive power when measures that are significantly different from basic skills tests scores are used for placement advice.

What Multiple Measures Should Accomplish

As mentioned earlier, matriculation assessment is a holistic process. Multiple measures can be just as useful as the test itself as long as the companion measures used with the test are chosen for their relationship to the objectives of the test. In other words, the requirement to use other measures in assessing a student should not be approached only with compliance with the regulation in mind. Instructional faculty, counseling faculty, assessment directors, and all other appro-

priate staff members should be involved in the selection process. The objective is to consider what information would best be useful for placing students into the curriculum and at what point.

Holistic or comprehensive assessment is very broad in scope. Educational progress is affected by a host of things that basic skill measurement can't hope to determine. If two students get the same score on a placement test, will they also do equally as well or as poorly in the course? You can't tell from the score. Many other things will affect their academic performances. Their levels of motivation, their work schedules, the demands on their time outside of the classroom, study habits, etc. will all play a part in their performances. Still, keeping in mind that the goal of the institution is to educate, to the highest level possible, each student who enrolls in a course or program, effective companion measures unrelated to those identified by a test can still be relevant to course objectives and success.

The appraisal of a student's abilities can be tied directly to the needs and the college's facilities, programs and services that have been designed to meet those needs. Early on in the development of matriculation, there was much discussion of the "match" that needs to be made between students' goals and the institutions' abilities and responsibilities to meet those goals. Some students may have specific needs that are centered on their limited English speaking skills, while others may need assistance in refining their educational goals and the steps required to achieve their goals.

Multiple measures are "pieces of information that, cumulatively, can help to clarify Placement choices and educational goals. A student's competency, while important, is only part of the profile. Some students can succeed with little help from anyone, whereas others will need to utilize the majority of instructional and supportive service assistance available to them. But with this help, students in the latter group can also succeed.

Once this discussion has been begun on campus and some agreement has been reached, the task remains to determine what companion measures should be used to augment the college's testing program.

How to Choose a Companion

This part ain't easy. It requires a lot of "buy-in" and it has to be the result of collective Thinking and experience, Counselors or advisors cannot do this in isolation, and in order to ward off later dissatisfaction, instructional faculty must also participate since they are closest to knowing what their courses demand.

A companion measure may be centered in the students' makeup, as well as the Academic skill-specific course expectations. For example, a student's motivation to succeed can be an important determinant in course selection. Here though it is important that professional judgment be used to ascertain how realistic the student may be, in her assessment of her own abilities. With some students the "put me in coach, I can win the game" attitude is wishful thinking, with others it is not. Concomitantly, some students will be able to recognize the value of their outcome objectives and be willing to do whatever is necessary to achieve the ends, regardless of their past performances or "paper" abilities.

Instructors may also have student traits in mind that are more dependent upon what the instructor(s) would be willing to do with students who have more potential than may be indicated by a test score. For example, some instructors know that it is not uncommon that many students can find an outside lab useful for their students so they've initiated special modules in the campus Learning Assistance Center for students who tend to lag behind a bit in class. Or they may have found other ancillary activities in and out of the classroom that help support their instructional methods.

In any case, it is extremely helpful that the discussion begin with the players participating in a roundtable meeting within departments, Matriculation Advisory Committees, Academic Senates, curriculum committees, and so forth. Students can also contribute significantly to these discussions and should be included.

Some of the issues that will need to be considered will include: course expectations and rigor, attributes of successful students, student understanding of course requirements and how they are related to their goals, past educational achievement, prerequisites, effectiveness of supportive services, specialized assessment, student motivation, student aptitude, study habits, and emotional well-being.

After the laundry list of what a student should "look like" before enrolling a course or program, a process needs to be structured by which there can be some assurance that the concerns of all parties may be met on a consistent basis. On many campuses, this task will likely fall on the shoulders of counselors and advisors.

The Role of Counselors and Advisors

Logistically, the manner in which companion or multiple measures may be applied to hundreds or thousands of students is problematic. Smaller colleges will always be better able to account for the numbers of students receiving multiple measures and how effective they may be. But the Matriculation Technical Assistance visits have revealed that counseling is the most popular of all the matriculation services and that students do and enjoy using this service. Counselors are at the forefront of the placement activity and as such, are largely responsible for the majority of placement advice and decisions made with students.

It is important that the counselors and advisors know the expectations of instructional faculty as well as be sensitive to the needs and goals of students. This also means that the counselors should be aware of what the assessment process has been established to accomplish and how educational advisement fits into this process.

The "nuts and bolts" of counseling are, again, a local decision. There are though, some activities that may be helpful to many college counseling programs.. Where a college is large and serves a high number of students, perhaps more could be done at the high school level for students who expect to enroll in a local community college. For example, a series of "college days or nights" at local high schools in which a cadre of counselors or advisors participate may make the task of comprehensive assessment more manageable. It may also be possible for paraprofessionals to handle some "paper" tasks that would free counselors and advisors to spend more time speaking with students. Some colleges have initiated workshops that allow future students to attend special

guidance courses that are designed to assist students to discuss and explore goal choices in relation to their ambitions and aspirations. Regardless of the approach taken, it is fairly certain that most students will seek out a counselor once on campus; it may very well be that at the larger colleges the students will have the opportunity to undergo a more comprehensive assessment following their initial enrollment. But every effort should be made to contribute to their first semester course choices.

Group counseling is inevitable in many colleges at the present time. When linked to orientation, this can be an effective way to reach students and to apply companion measures in this setting. Summer bridge programs are also a way to reach large numbers of students in a more leisurely assessment atmosphere.

The fact remains though that counseling departments, in conjunction with instruction, need to find a way in which to apply the measures that the campus community has agreed defines the kind of advice that will help to ensure the success of new and continuing students. Much of this will entail significant professional judgment, which may also require substantial training,

Training

The training of counseling faculty and advisors is an important and necessary step to achieving a counseling program that ensures the consistent application of multiple measures. This is especially crucial at colleges where a large number of adjunct counselors are used during peak enrollment periods. Although it is extremely important that counselors and advisors know to use companion measures when looking at test scores during their meetings with students, they must also understand the value of these measures.

Many colleges have faculty orientations for counseling staff and this would be an opportune time to review the measures selected for use in placement as well as reviewing their utility in the educational process. This may be accomplished in part by the development of materials that illustrate how another measure may mitigate the choices presented to the student who is seeking placement advice. It would be useful, for example, to have materials that discuss the matriculation process and its objectives. An explanation of how assessment uses student characteristics to place students into courses and programs in order to maximize their needs, goals and attributes rather than, conversely, using student test scores solely to include or reject students from a course by virtue of that single criterion would be helpful.

Other topics for counselors and advisors to consider could include: the use of transcripts to initiate student self-evaluation in addition to detailing their past performances; the need for support services and where they can be found on campus; family demands and responsibilities; transportation needs; family educational achievement background and resources; motivational values; degree of comfort in the college community; facility in the English language; ability to identify applicable aptitudes; and perceived or documented disabilities.

The participants of these training activities need not be confined to counselors. Assessment Coordinators, Instructional faculty members, Academic Senate representatives and student body officers may also find such training valuable. Though specialized training for these groups would

also be useful. Certainly, instructional faculty should have their own training sessions in addition to any others they may wish to attend.

The Role of Instructional Faculty

One assumption that may be safe to make is that students enroll in courses with the expectation that they will learn a skill or obtain knowledge that will help them to gain a career, get a job, be upgraded at the work they now perform, learn English, or transfer to a four-year institution. This means that somewhere along the line, they're going to have to go to class. Instructional faculty are at the center of these efforts. They cannot and should not be excluded from the activities and process involved in assessment for placement into the curriculum.

The instructional faculty member has a good deal of insight into what will ensure the success of a student in his or her course. It is important, therefore, that their views in this regard be shared with assessment and advisement staff and faculty. It is also important that instructional faculty understand the manner in which placement is accomplished under the auspices of matriculation. Matriculation and Assessment Directors and Coordinators should be encouraged to make presentations for faculty members at scheduled meetings and by invitation. It is crucial that instruction know that their input is necessary and welcome.

Training

Training in matriculation assessment for instructional faculty should be on-going and regularly scheduled. Again, it is the value of their contributions to the process that should be stressed. Likewise, the instructor should be able to provide a certain amount of feedback to Matriculation and assessment personnel as to whether or not the assessment process is working for them in the classroom, and if not, what may be their suggestions for improving the process.

Assessment In The Classroom

Much has been made in the past about whether or not additional assessment activities in the classroom are allowed by regulation. The answer is, kind of.

Placement decisions must be made prior to enrollment. Once a student has been allowed to enroll (unless she has not met a legally established prerequisite), she must be allowed to remain in the course. However, this does not mean that the instructor cannot perform some diagnostic activities that may provide important information that will allow that instructor to better learn what abilities the students in the course may have that will enhance or detract from the teaching methods for the course. But a student cannot be involuntarily removed from a course on the basis of these additional assessments.

This is another reason why it is important that instructional faculty participate in the identification of the companion measures that will be used to make placement advice. If departmental decisions can be made that will provide some guidance for counseling and assessment people to consider when meeting with students, it may well eliminate the need for additional assessment in the classroom. This is not to say that diagnostic activities shouldn't be part of an instructor's teaching method, but the reasons for these activities could be significantly lessened when the instructor has confidence that the placement process is addressing these concerns.

And from what has been learned during the Matriculation Technical Assistance visits, many instructors who felt a need to assess students further did so because they were not confident that placement decisions were being made with their concerns being addressed. It is a tremendous waste of time and resources to carry the placement process into the classroom. Counselors and instructors need to be aware of the manner in which students are to be advised for placement and participate in that process together. With the increasing implementation of prerequisites, with their often complex structures, this cooperative effort must be realized.

Assessment, Prerequisites and Thou

Title 5 regulations in the areas of establishing and implementing pre and corequisites and advisories on recommended preparation have been revised relatively recently and are currently being enforced. Though many useful materials are now available to assist colleges in their efforts to interpret and apply the regulations (see the Model District Policy, the Chancellor's Office Q&A on prerequisites and the Academic Senate's "Good Practices for Implementing Prerequisites"), the matriculation assessment process is also one way of meeting certain course prerequisites. It should be emphasized that it is the assessment process, used with multiple measures, and not a test score by itself that can meet a prerequisite.

This is still another reason why the entire affected college community must be involved in the determination of what measures, with a test score, should be part of the decision that a student has or has not met a prerequisite and can enroll in the target course. This would require review and discussion in academic departments as well as in curriculum committees in order to establish what measures can be used to consider an assessment process equivalent to a course prerequisite.

In 1990, a study was published by Santa Barbara City College (authored by Drs. Cohen, Friedlander, Kelemen-Lohnas and R. Elmore) titled, "A Method for Determining Valid Course Placements and Prerequisites." The study contains a number of

recommendations concerning placement and prerequisite practices reflecting data that were gathered from surveys of approximately 24,000 students and 1600 faculty members throughout eight community colleges participating in the study. In the study, the authors identified a number of variables used to predict student grades (Appendices A&B) and faculty and counselors may find it useful to review these for consideration of possible factors to consider when establishing multiple measures for placement and prerequisites.

What if You Gave a Test and Nobody Came?

Up to this point this discussion has dealt with using measure that may combine well with a test. But it is possible to perform assessment of students without using a test at all.

There are some colleges that have developed "informed decision" models by which students may place themselves into English and math curricula by using materials developed by the college(s) that would serve to help students to "preview" the type of coursework and preparation expected in various courses in these disciplines. The model developed by David Smith and Dr. Tim Clow at Contra Costa College had five primary steps: 1) The student was given directions for using the materials; 2) English and math course expectations were provided to the student (selected faculty members were available to address concerns with respect to these expectations); 3) Math problems relating to each level of math instruction were given to the students (with answers); 4) An academic and life style questionnaire was provided to help the student evaluate their course readiness; and, 5) The student declared a decision for course selection.

Although there are always concerns associated with students making their choices more or less on their own, quite possibly more students are equipped to make these kinds of selections decisions that may be realized. If colleges could be confident that the students were receiving enough information from printed materials and consultations with counselors and faculty to ensure at least a thoughtful and realistic choice on the part of the student, this could be a very worthwhile venture.

To date it seems that the informed decision model is mostly used by colleges that have not been able to validate a more traditional test instrument. So for the time being, there is a good deal of reluctance on the part of colleges to forego tests altogether. But involving the student in the assessment process to a greater degree may be of benefit to a good number of students who require less assistance than others yet are receiving services that could be utilized by some who need greater help.

Should Multiple Measures Be Validated

In a word, yeah. When the regulations for matriculation were initially drafted, it was thought that the work to necessary to ensure valid, reliable and bias free test instruments was going to require so much work on the part of the colleges that it would be unreasonable to also require them to validate their multiple measures,. But there's no doubt that validating the companion measures used with test scores would help to remove much of the guesswork associated with choosing multiple measures and could eventually eliminate the need to rely so heavily on anecdotal evidence.

Still, there is no regulatory requirement that the colleges validate their multiple measures. This is an area in which the accountability for choosing the best measure for assessing students is left to the colleges. It would be sound educational practice for these measures to be validated, but districts are not compelled to do so. It must also be mentioned that the resources for conducting the type of research this task demands is not at the disposal of every college or district. For many, the choices of companion measures will long remain a "best" guess.

Summary

Matriculation assessment offers the opportunity for students and educators to have a voice in determining the nature and extent of the integration of assessment results with instruction and service providers. Comprehensive assessment should not only provide the college with information about the student, but the student should be able to learn something about herself, how to set reasonable and realistic goals, the basic tenets of self-evaluation, educational planning, etc.

But multiple measure assessment should not constitute merely the means to meet regulatory requirements. The necessity for making placement decisions based on comprehensive student profiles is based on a strong belief that students and colleges are both better served when more and relevant information is available for decision making. This goes further than compliance with regulations. There are many factors affecting student accomplishment that can be discovered using appropriate companion measures when assessing students. Of paramount importance in this effort to assess comprehensively is the need to properly train the college community in ways that they may each contribute to students' success.

Without the assurance that counselors and advisors, instructional faculty, assessment staff and all others with significant student contact each understand his or her role in the comprehensive assessment process and matriculation in general, students are not likely to understand the value of this approach. This means that the college community must also recognize the value of multiple measure assessment and be convinced that students will benefit by their participation.

Through the development and submittal of college matriculation plans, a good many policies have been advanced that address assessment and the other matriculation components. In almost every case it is clear that many in the college community continue to equate assessment with testing. For matriculation purposes, assessment is not just testing.

Assessment is holistic and representative of the individual student as an entire entity, and not just a test score. Assessment is an opportunity for the college to learn how to better serve the students enrolled. Assessment is an integrated process that includes instructional faculty from a variety of disciplines, administrators, counselors, students services personnel, vocational education representatives, data processing staff, special populations faculty and staff, and students. Assessment is a college wide, comprehensive activity that examines and contributes to curriculum analysis, supportive services, student appraisal and classroom strategies, research methods, alternative modes of instruction and service delivery, admissions policies, program and course student participation, staff development, and technical development. It is not just testing.

APPENDICES

What are the best predictors of student success?

The variables used to predict student grades varied from college to college and from course to course. However, of the 60 variables examined, the 10 variables listed in Table 9 were most commonly found to be the, best predictors of students' grades. It should be noted that ethnicity was not a significant variable.

Table 9

Ten Best Predictors of Students' Grades

- English test score
- Reading test score
- Math test score (or math level)
- High school GPA (self-reported)
- Age
- Units planned
- No. of hours employed
- Highest math class completed
- Importance of college to student
- Importance of college to those closest to student

Recommendation 7

Colleges need to identify their own set of predictor variables based on information they collect from students. There is no universal set of factors that predict success for all students in all courses at all colleges. However, the variables noted above should be considered when colleges examine their own data.

What percentage of the students predicted to pass a course did not do so (false positives)?

The greatest error in predicting grades in courses occurred because students predicted to pass a course with a grade of “C” or higher actually received a “false positive.” Based on the assessment and educational background characteristics collected, there was every reason to believe these students would successfully complete their ...

Course Placement & Prerequisites

LIST OF VARIABLES USED TO PREDICT STUDENTS' GRADES

1. Students' scores on standardized assessment tests in English, reading and math
2. Student background characteristics (i.e., ethnicity, age, gender, veteran status and citizenship)
3. Verified learning disability
4. Educational Background Information:
 - a. Length of time out of school
 - b. Highest level of educational attainment
 - c. Years of English completed in high school
 - d. Grade received in last English class completed
 - e. High school grade point average
 - f. Highest level of math class completed
 - g. Grade received in last math class completed
 - h. Length of time since student completed his/her last math class
5. College plans, including:
 - a. Time of day attending classes (day, evening, day/evening)
 - b. Number of units planned for term
 - c. Number of hours employed while in college
 - d. Primary educational goal
 - e. Major field of study
 - f. How definite is the choice of major
 - g. Importance of attending college to people closest to the student
 - h. Importance of attending college to the student

**STANDARDS, POLICIES AND PROCEDURES FOR THE EVALUATION
OF ASSESSMENT INSTRUMENTS USED
IN THE CALIFORNIA COMMUNITY COLLEGES
(4TH EDITION, REVISED MARCH 2001)**

PREFACE

Matriculation in the community colleges is a process that promotes and sustains students' efforts to achieve their educational goals. Matriculation affords the individual access to educational opportunities, and then takes steps to increase the likelihood of the individual's success. One aspect of matriculation is to provide assessments that are useful for assisting the student's selection of an educational program. That assessment instruments are fallible is axiomatic, and thus the goal is to select and use instruments that provide the most accurate and useful information. This document represents an up-dated version of the standards, policies and procedures that are to guide the choice and use of placement assessment instruments used in the California Community Colleges.

As the requirements and process for approving the use of assessments for placement into California Community College courses have evolved over the past several years, experience with this process and professional expectations regarding tests and testing have necessitated revisions in the standards, policies and procedures that are to govern California Community Colleges' use of assessment to assist course placement in the years to come. All colleges now have a placement assessment process implemented and operating, with most students following the advice given. The current revision of the **Standards** is based on the premise that these placement systems and the assessments being used as part of these systems should be examined and evaluated on a continual basis. Initial evidence on the validity of assessments was needed to support their use as placement devices. Ongoing evidence is needed to assure that the systems and assessments within the systems are maintaining their effectiveness and appropriateness.

Feedback from the field and a Chancellor's Office Task Force review of the current policies and requirements suggested a desire to streamline the process and lessen the burden on the local college. Attempts to incorporate this feedback into the revisions were made while still maintaining elements of the old Standards that were judged to be absolutes to maintain the integrity of the standards and the review process.

Little has been changed in Sections One, Two and Seven from the prior editions; mainly minor editorial changes to maintain consistency and bring the document up to date. As with previous revisions, the major changes occur in Section Three

that then carry over into current Sections Five and Six and include elaboration and clarification of material in previous editions of the **Standards** and addition of new information. Of particular importance is the addition of a section on Specific Criteria for Computer Testing (Section Four). All of Sections Three, Four, Five and Six should be reviewed in detail, but the following highlight the major changes in old material or the addition of new material are found.

- A) Clarification of the minimum number of colleges for which supportive validity publishers of second party must provide data tests;
- B) Both empirical and logical approaches addressing a test's freedom from bias, insensitivity and offensiveness are now required as one of the minimum pieces of acceptable evidence that must be satisfied before a second-party test can attain initial status in any of the approval categories;
- C) The burden on the college to collect either criterion-related or consequential related validity evidence has been lessened. Evidence of this type is only required if an empirical design is chosen as the procedure for establishing or validating cut-scores;
- D) Appropriate evidence documenting the reliability of test scores has been expanded for local colleges who are managing second-party tests, developing their own tests or involved in a critical mass submission. The colleges now have an option to provide either test-retest or internal consistency estimates of reliability;
- E) A minimum sample size of 50 cases has been set as the required number in studies to determine the reliability estimates;
- F) An entire section on criteria for computer testing has been added;
- G) The expectation for conducting disproportionate impact studies is that such data are to be collected and evaluated at least once every three years; and
- H) A matrix summarizing the responsibilities of local colleges and test publishers in the approval process replaces the summary tables in the old edition. This matrix was developed by the Standards Review Task Force and is intended to facilitate communication of the requirements.

Personnel are available to assist understanding and implementation of the assessment Standards by contacting the Dean of Students at the Community College Office.

SECTION ONE: ASSESSMENT IN MATRICULATION

Regulations to implement the California legislative mandate known as "matriculation" (AB 3) define matriculation as

a process that brings a college and a student who enrolls for credit into an agreement for the purpose of realizing the student's educational objectives through the college's established programs, policies, and requirements.

The intent of AB 3 is to establish a matriculation system that describes minimum standards in California's community colleges and provides guidelines for implementing these standards to make certain that students pursuing post secondary education have equal access to programs and services and opportunities for success.

One major component of the matriculation process is assessment. AB 3 and its Title 5 regulations clearly indicate that the primary function of such assessment is to assist the student in making decisions about appropriate course level enrollment, major area of study and vocational program choice. Assessment's primary role in matriculation is viewed as providing descriptive and predictive information about students and their "fit" to courses and programs, thus facilitating their potential for success at the community college.

The intent of the legislation, where assessment is concerned, is to establish guidelines, procedures and standards for ensuring that assessment instruments and procedures implemented in the community college system are appropriate and in line with intended use as defined and described by AB 3 and Title 5 regulations. As such, the Act specifically requires that an advisory committee to the Chancellor of the California Community Colleges review and make evaluative recommendations concerning all assessment instruments used for placement by the colleges. Based on these recommendations, the Chancellor shall establish and update, at least annually, a list of approved assessment instruments and guidelines for their use by community college districts. In line with this requirement, the purpose of this document is to: (1) specify the procedures for the Chancellor's advisory committee to follow in arriving at these recommendations, (2) delineate the standards that the committee should consider in the review and evaluation of assessment instruments, and (3) define the information that shall be provided to the Chancellor by the advisory committee concerning the assessment instruments.

The recommendations that are formed are to be established based on those professional standards that guide educational and psychological testing and those conditions called for in AB 3 and Title 5 regulations. While the review will focus on specific instruments (tests), the final scrutiny will be on the suitability and appropriateness of the use, i.e. the test scores' interpretation(s) and

resulting recommendation(s) must be evaluated and ultimately judged. The final responsibility for the proper use of assessment instruments and procedures and resulting scores remains with local colleges. An affirmative recommendation by the Chancellor regarding a test only provides the opportunity for a district to consider its use. An affirmative recommendation does not automatically endorse the local college's use of the test score(s) as proper.

Keeping this stipulation in mind, a seven-step process is followed when making recommendations to the Chancellor about specific assessment instruments. These seven steps are detailed in a later section, but include the following:

- Step 1. Compile Information on Assessment Instruments**
- Step 2. Develop Psychometric Expert Review**
- Step 3. Develop Content Expert Review (for second-party tests at the time of first review)**
- Step 4. Develop MAC Assessment Work Group Review**
- Step 5. Generate Review Recommendations**
- Step 6. Disseminate Chancellor's Decision**
- Step 7. Allow for an Appeals Process**

For assessment instruments approved by the Chancellor, each community college district must develop documentation to demonstrate that it is using the test appropriately. The necessary documentation by the local college or district is discussed in later sections. Specific criteria and standards have been identified for test publishers and colleges to meet. This information will be reviewed during matriculation technical assistance visits by a team representing the Chancellor's Office.

When the Chancellor has not approved an assessment instrument, no community college district may use the test except on an experimental or pilot basis. The purpose for experimental use is to collect research information pertinent to a reconsideration of the instrument in an attempt to obtain future approval for its use from the Chancellor's Office. In these instances, local users would place emphasis in their documentation efforts on areas defined as deficient in the report filed at the time a non-approval decision was made concerning a test's use. A re-review of an instrument would involve all steps in the process.

The remainder of this document delineates the procedural steps defining the assessment instrument review process and identifies the reviewers' criteria (standards) used when examining an instrument. These standards, while defining the criteria by which judgments will be made about the recommended acceptability of an instrument's use, also provide guidelines and criteria for the local community college districts when selecting or developing an assessment

instrument, in implementing the instrument within a local assessment system, and in collecting local documentation.

Assessment in Matriculation

Where assessment by instrument is concerned, the matriculation Title 5 regulations place responsibility for the approval of assessment instruments with the Chancellor of the California Community Colleges. This responsibility has necessitated the development of review procedures and criteria for making the determination. Specifically, the regulations state that:

The Chancellor shall establish and update, at least annually, a list of approved assessment instruments and guidelines for their use by community college districts. These guidelines shall identify modifications of an assessment instrument or the procedures for its use which may be made in order to provide special accommodations required by Section 55522 without separate approval by the Chancellor. Such guidelines shall also describe the procedure by which districts may seek to have assessment instruments approved and added to the list. The Chancellor shall ensure that all assessment instruments included on the list minimize or eliminate cultural or linguistic bias, are normed on the appropriate populations, yield valid and reliable information, identify the learning needs of students, make efficient use of student and staff time, and are otherwise consistent with the educational and psychological testing standards of the American Educational Research Association, the American Psychological Association, and the National Council on Measurement in Education. (Section 55524)

Within the matriculation regulations, the broader implications of this directive are presented through the statements on what "assessment instruments, methods and procedures" encompass. In the regulations, assessment is defined as:

the process of gathering information about individual students to facilitate student success. Assessment may include, but is not limited to, information regarding the students' study skills, English language proficiency, computational skills, aptitudes, goals, learning skills, career aspirations, academic performance, and need for special services. Assessment involves the collection of such information at any time before or after enrollment, except that the process of assigning a grade by an instructor shall not be considered part of the assessment process. Once a grade has been assigned and recorded in a student's transcript it can be used in the assessment process. (Section 55502[b])

The intent of the definition is to be inclusive rather than exclusive in terms of what constitutes assessment in matriculation and therefore what must undergo review. The review focus is on the mechanism for gathering information, i.e., the instruments, methods and procedures that are employed. The mechanisms of assessment include but are not limited to:

interviews, standardized tests, holistic scoring processes, attitude surveys, vocational or career aptitude and interest inventories, high school or college transcripts, specialized certificates or licenses, educational histories and other measures of performance. The term "assessment instruments, methods or procedures" also includes assessment procedures such as the identification of test scores which measure particular skill levels, the administrative process by which students are referred for assessment, the manner in which assessment sessions are conducted, the manner in which assessment results are made available, and the length of time required before such results are available. (Section 55502[c])

Furthermore, the regulations provide guidance in that specific practices are prohibited. In implementing matriculation services, community college districts shall not do any of the following:

- (a) use an assessment instrument which has not been approved by the Chancellor pursuant to Section 55524, except that the Chancellor may permit limited field-testing, under specified conditions, of new or alternative assessment instruments, where such instruments are not used for placement and are evaluated only in order to determine whether they should be added to the list of approved instruments (Section 55521[a]);**
- (b) use any assessment instrument in a manner or for a purpose other than that for which it was developed or has been otherwise validated (Section 55521[a]);**
- (c) use any single assessment instrument, method or procedure, by itself, for placement, required referral to appropriate services, or subsequent evaluation of any student; provided however that, in the case of assessment instruments, the use of two or more highly correlated instruments does not satisfy the requirement for use of multiple measures (Section 55521[a]);**
- (d) use any assessment instrument, method or procedure to exclude any person from admission to a community college (Section 55521[a]);**

- (e) use any assessment instrument, method or procedure for mandatory placement of a student in or exclusion from any particular course or educational program, except that districts may establish appropriate prerequisites pursuant to Sections 55002, 55201, 55202 and 58106 (Section 55521[a]); or**
- (f) use any matriculation practice which has the purpose or effect of subjecting any person to unlawful discrimination prohibited by Chapter 5 (commencing with Section 59300) of Division 10 of this Part. (Section 55521[a]).**

These regulations provide the context for establishing the procedures and standards for review. The implication is that any information gathered about an individual student which is subsequently used in the matriculation process by the student or by others to make decisions about the student other than for the assignment of a grade falls under the definition of assessment and, thus, must be reviewed.

Very importantly, some prohibited assessment practices involve consequences resulting from the use of a test. Evidence that these negative consequences do not result from the use of the assessment mechanism in question must be provided. As a specific example, the Chancellor is charged with ensuring "... that all assessment instruments included on the list minimize or eliminate cultural or linguistic bias..." Disproportionate impact resulting from the use of assessment is the issue being addressed. From the regulations, disproportionate impact is defined to occur when:

the percentage of persons from a particular racial, ethnic, gender, age or disability group who are directed to a particular service or placement based on an assessment instrument, method or procedure is significantly different than the representation of that group in the population of persons being assessed and that discrepancy is not justified by empirical evidence demonstrating that the assessment instrument, method or procedure is a valid and reliable predictor of performance in the relevant educational setting.

The regulations require documentation and evidence addressing this issue:

- (a) Each community college district shall establish a program of institutional research for ongoing evaluation of its matriculation process to ensure compliance with the requirements of this chapter. (Section 55512[a])**
- (b) As part of the evaluation required under subsection (a), all assessment instruments, methods or procedures shall be evaluated to ensure that they minimize or eliminate cultural**

or linguistic bias and are being used in a valid manner. Based on this evaluation, districts shall determine whether any assessment instrument, method or procedure has a disproportionate impact on particular groups of students described in terms of ethnicity, gender, age or disability, as defined by the Chancellor. When there is a disproportionate impact on any such group of students, the district shall, in consultation with the Chancellor, develop and implement a plan setting forth the steps the district will take to correct the disproportionate impact. Community college districts shall also evaluate the impact of assessment policies on particular courses or programs. (Section 55512[a])

Evidence on disproportionate impact, therefore, must become part of the criteria used at some level when reviewing assessment instruments, methods and procedures. Information used to make decisions that affect individual students, the instruments, methods and procedures for gathering and the consequential use of the information must be reviewed except for individual course assessments used as part of the course instructional design or for the assignment of course grades.

Similarly, another regulation that needs to be incorporated into the review and subsequent judgments on the adequacy of an assessment process is the stipulation that multiple pieces of information must be used for placement, required referral to appropriate services or subsequent evaluation of any student. The required use of more than a single assessment instrument, method or procedure for making these decisions is found in Section 55521(a), under the list of prohibited practices identified previously. This regulation again identifies a situation in which an instrument might be reviewed favorably at one level of review, but because it is not to be used as the only source of input for placement decisions at the local level, the total assessment process (of which the information from a single instrument is but one part) will need to be reviewed.

The Assessment Review Focus

To focus this initial review, the use of assessment as a placement tool in California Community Colleges has been selected. Selecting for review those instruments, methods and procedures that serve the placement function is consistent with the spirit of AB 3, the Title 5 regulations, and sound educational practice. Assessment resulting in appropriate, i.e. valid, placement of students in courses and programs will serve the desired outcome of matriculation, which is to "facilitate student success in college." Use of assessment for placement purposes is also the dominant practice in California Community Colleges as indicated by surveys of assessment practices.

To select instruments in the review, two criteria were used to define the placement function in matriculation. Any assessment instrument, battery, or device used in one of the following manners was intended for inclusion:

- a. The instrument, battery or device is used to assist/help with the appropriate placement of students into different levels of instruction (e.g., reading, writing, mathematics), classes or programs.
- b. The instrument, battery, or device is used to advise students on course selection, career choice/path, or personal guidance/counseling.

In reviewing instruments that assist the placement function, the distinction between the potential for an instrument to validly serve its function and meet the mandate of AB 3 versus the actual use of information from the instrument and the consequences of its use at the local level needs to be noted. A requirement of AB 3 is that accurate (reliable and valid) information be used in forming the placement recommendations.

SECTION TWO: **STANDARDS FOR THE EVALUATION OF ASSESSMENT MEASURES**

The Identification of Standards

The Standards for Educational and Psychological Testing (1999) is a document specifying guidelines for the development and use of tests. The testing **Standards'** purpose is "to provide criteria for the evaluation of tests, testing practices, and the effects of test use" (Standards, p. 2). Prepared jointly by the American Educational Research Association, the American Psychological Association, and the National Council on Measurement in Education, the document represents a considerable effort on the part of many psychometric experts and test users to develop criteria for the development and evaluation of assessment instruments. The testing **Standards** is intended to provide a basis for evaluating the quality of testing practices as they affect the parties involved. Accordingly, the standards have served as the primary reference for the evaluation of measures in use by the California Community Colleges.

Since the philosophy underlying this document is similar to the one underlying the testing **Standards**, reviewers of tests for community colleges should become familiar with the information in the testing **Standards**. In general, the testing **Standards** state that the evaluation of tests should ultimately involve judgment and not some mechanical process such as a checklist. This judgment is to be based on a general knowledge of the behavioral sciences, a specific knowledge of the professional field to which the test applies, and alternative measures that are available for the same purpose. Also, knowledge of psychometrics along with a keen sense of practical issues such as feasibility of test use should play a role in the evaluation of any measure.

Introduction to the Standards for the Evaluation of Measures in Use by the California Community Colleges

The purpose of the testing **Standards** is broader than the purpose of this document: the establishment of criteria for the evaluation of assessment measures for the California Community Colleges. Accordingly, the following is an abbreviated version of the testing **Standards**. This abbreviated version reorganizes the testing **Standards** into five sections:

1. Validity;
2. Reliability and Errors of Measurement;
3. Scaling, Norming, Score Comparability and Equating;
4. Standards for Administration, Scoring and Interpretation; and,
5. Testing Special Groups.

Each section contains a number of criteria, with each criterion grouping together a number of similar principles from the testing **Standards** that have been paraphrased. These criteria have not been revised to conform to the wording in

the new edition of the testing **Standards** (1999). Rather, for continuity the older usage of terms is used. We believe the criteria and concepts presented are still appropriate and relate to the purpose of the present document. This abbreviated version of the testing **Standards** is presented for the convenience of the test reviewers for the California Community Colleges. The standards that have been abstracted are those that are expected to relate frequently to the community college reviewer's needs. However, test reviewers should be familiar with the testing **Standards** in its entirety and rely on its content as the primary source.

A related document that affords considerable guidance in the review of assessment devices is the Code of Fair Testing Practices in Education (1988) prepared by the Joint Committee on Testing Practices and distributed by the National Council on Measurement in Education. Unlike the testing **Standards**, which is designed to address the full range of testing applications, the Code is intended to be consistent with the testing **Standards**, yet differs in both audience and purpose. While based on the testing **Standards**, the Code has been prepared for the public at large. The Code narrows its scope to educational testing and focuses on those criteria that affect the proper use of tests. Given the Code's specific attention to educational testing, this document has been relied on as well to guide the identification of those criteria presented in this section.

A third primary source for detailing test standards judged particularly relevant to California Community Colleges was the Equal Employment Opportunity Commission's (EEOC) Uniform Guidelines for Employee Selection Procedures (1978). While prepared to provide guidance in matters of the use of tests for the selection of employees, the EEOC Guidelines do identify numerous criteria that can lead to the fair and equitable use of testing. As such, when specific criteria were evaluated for inclusion in this monograph, compliance with practices suggested in the Guidelines was monitored.

In abstracting and summarizing the testing **Standards**, the Code and the EEOC Guidelines, the criteria that are presented are compatible with these sources, but were identified specifically for evaluating assessment measures used by California Community Colleges. These criteria are offered for a number of related reasons. The testing **Standards** are intended to offer guidelines for test developers or test users who may be working with one of a number of types of tests used in one of a variety of settings. Therefore, the testing **Standards** are very broad and allow for multiple exceptions. In contrast, the criteria for the community colleges can be more specific. For example, since the California Community Colleges serve students from diverse populations, the criteria can identify as a requirement that test users must document how they plan to meet the special needs of these populations. Second, by having more specific criteria, the test reviewers should make more reliable judgments. Accordingly, the review system is more likely to be viewed as fair in that a test should be evaluated from the same basis regardless of the judges.

Finally, evidence for some criteria may likely not be available for review by the external test reviewers in their evaluations or are not restricted as required documentation by the test developer. However, local college personnel can expect that such evidence will be evaluated by the Chancellor's office during on-site visits to determine that such criteria are met. These criteria are specific to a particular college, such as criteria dealing with Cut Scores.

The sections that immediately follow address the criteria, standards and considerations necessary to judge tests in general as well as direct assessments of writing samples.

Select Criteria for the Evaluation of Measures in Use by the California Community Colleges

Validity

Validity is the most important concern when evaluating a test. Evidence of validity speaks to the suitability of the specific interpretation attached to or actions taken based on test scores. Seen in this light, the test itself is not validated. Rather, it is the use made of the test information that is to be validated. If use or practice differs across applications, then each specific application needs validation. Validity criteria that are especially germane to the California Community Colleges' use of tests follow. Unless otherwise noted, the test developer ordinarily has responsibility to provide the information called for by the criterion.

Criterion 1. Validity: General. Evidence should be provided by the test developer, test researchers, or users supporting the particular interpretation and use(s) of the test scores. Choice of types of evidence provided should be specified as well as a rationale for the mix of evidence. The specified purpose determines whether the reviewer should selectively weigh construct-, content-, or criterion-related evidence in the evaluative process.

Situations may occur in which, in a user's judgment, decisions may be based in part on tests for which little evidence of validity for the intended purpose is available. In these circumstances, the user should take great care not to imply that the test has established validity or place considerable reliance on the measure in decision making.

Necessary cautions concerning lack of evidence for the use of a measure, subscore, item, difference score, or profile interpretation are required within the testing materials.

If a user alters a test in some fashion, the user needs to revalidate the test under the changed condition or offer a rationale for why revalidation is unnecessary. Any substantial change in a test's format, alteration of how the test is administered, its language, instructions or content requires that additional

validation evidence be assembled. The extent of the revalidation will likely vary with the nature of the change(s).

Criterion 2. Content-Related Evidence A clear definition of the universe represented, its relevance to the test's use, and the procedures used to relate the item content to the universe should be described fully and accurately. Sufficient detail is expected so that users can evaluate the range of content in the measurement as appropriate for a domain. Even if the content-related evidence is fully described, a negative judgment might be rendered if the information does not support the choice of test content. If expert judges are used to make content evaluations, their qualifications must be specified.

Criterion 3. Construct-Related Evidence. If a test is proposed to measure a construct, the construct should be specified and well defined. In addition, evidence to support the inference from the test to the construct should be presented. Evidence is necessary showing that the instrument relates to what the test should measure, and that it does not relate to what it should not measure.

Criterion 4. Criterion-Related Evidence: General. All criterion-related studies should be completely described, including a specification of the sample, statistical analyses, criterion measures, and the time intended between predictor and criterion measurements. In addition, any factors that affect the results of the study should be reported. The criterion-related evidence should be judged to determine its support for and relevance to the intended use of the test. Further, criterion measures need to be described and the rationale for their selection provided. The generalization of the validity study to the intended use of the instrument must be described.

Criterion 5. Criterion-Related Evidence: Differential Prediction. Differential prediction should be investigated under two conditions: (1) when feasible, and (2) when prior research has established a substantial likelihood for differential prediction to occur with a particular type of test. That is, when groups differ in their demographics, past experiences, or instructional treatment and such factors are related to performance on the test, then investigations must be undertaken to determine if decisions are systematically different for the members of a given group than for all groups combined. Any differential prediction studies should involve proper statistical and methodological considerations.

Criterion 6. Cut Scores. In some applications, users make one decision if a test taker scores at or below one score (the cut score) and a different decision if the test taker scores above that value. The test user is required to document the method, rationale, and appropriateness for setting that cut score. Evidence of the appropriateness of the cut score for the decision must be documented. When Cut Scores are based on professional judgment, the qualifications of the judges should be documented.

Reliability and Errors of Measurement

Error in measurement is inevitable. Recognition of this fallibility serves as its own caution and requires that the likely extent of error associated with test scores be documented. While many (potential) sources of error exist, an essential requirement is that the approach to documenting the extent of measurement reliability takes into account errors of greatest concern for a particular test use and interpretation. Criteria associated with the reliability of tests most germane to California Community Colleges use are presented below.

Criterion 1. Estimates of Reliability and Standard Errors: General. For each reported score, estimates of reliability and standard errors of measurement should be provided to determine whether scores are sufficiently accurate for the intended use. The sample characteristics, statistics, and, more generally, the methodology employed to document a test score's reliability should be described completely. If theoretical or empirical reasons exist to suggest that estimates differ by population, estimates should be provided for each major population. Performance assessments that typically rely on human judgment must be monitored to insure adequate levels of scorer consistency.

Even if appropriate estimates are provided and the employed methodology is acceptable, the measure should be evaluated negatively if the estimates of reliability and standard error indicate low accuracy for the test's intended use.

Situations may occur in which, in a user's professional judgment, decisions should be based in part on tests for which little evidence of reliability is available. In these circumstances, the user should take great care not to imply that the test has established reliability.

Criterion 2. Estimates of Reliability and Standard Errors: Type of Estimates Provided. The type of reliability estimate should be carefully selected, appropriate for the expected use, and properly interpreted. For example, coefficients of internal consistency should not be interpreted as estimates of stability over time. Coefficients that yield spuriously high estimates of reliability for speeded tests should not be used if total performance is dependent on test takers' inability to complete a test due to time constraints.

When corrected coefficients are reported, uncorrected indices must be presented as well. If a test is scored using a judgmental process, the degree of error introduced by scoring should be documented.

Criterion 3. Estimates of Reliability and Standard Errors: Specific Applications. For tests whose use relies on Cut Scores, reliabilities need to be reported at the cut score or for score intervals. Also, decision consistency reliability information needs to be reported for selected score points. For adaptive tests, reliabilities must be reported for repeated administrations using different items.

Scaling, Norming, Score Comparability and Equating

The metric used to report test scores is chosen to enhance the interpretability of the information shared with the user or test taker. In the same vein, access to norms provides a means of referencing performance to a defined population of persons or groups. The utility of having multiple forms of a test available is realized only when performance can be reported on a single common scale. (Otherwise there will be an advantage or disadvantage associated with the particular form taken). Regardless of the utility achieved by establishing derived scales, resultant transformed scores can introduce error to the measurement process due to the procedure itself or the sampling methodology used. Important criteria for evaluating the appropriateness of test score transformations used in the community colleges are presented below. As these criteria suggest, benefits realized by transforming scores must be carefully weighed.

Criterion 1. Choice of Scales. The method used to compute the transformed (derived) scale or raw score should be clearly delineated. In addition, the rationale should address the relationship between the scaling methodology and the test's purpose. The measure is strengthened by the transformation of scores to the degree that the choice of scores is appropriate for and consistent with the intended purpose.

Criterion 2. Norms. The group of persons used for establishing the norm should be well described and appropriate for the test's intended use. The norm group must be a group to whom users will wish to compare the individuals tested. The methodology for constructing norms, including sampling plan, participation rates, and descriptive statistics, should be exhaustively specified. In addition, the year(s) that the data were collected should be reported. Out-of-date norms should be avoided.

Criterion 3. Comparability of Scores. When scores based on different test forms or different response formats are intended to be interchangeable, data that support the equivalence of the forms must be documented. If the content of the instrument changes across years, but the scale is intended to be comparable, the method for maintaining comparability should be described and be adequate for its intended use. When the test specifications change across years, the change should be fully described, the rationale for the change given, and the test user informed of the extent to which scores remain interchangeable. When the changes to a test are considerable, it becomes necessary to re-establish its psychometric characteristics including validity, reliability, etc.

Standards for Administration, Scoring and Interpretation

Information that documents the properties of a test must be available to users. In this respect, manuals and technical reports are particularly important for detailing how to appropriately use a particular measurement device. Completeness, accuracy, and clarity remain key to the selection and proper use

of a test. Criteria that speak to the adequacy of communication and the use of information for community college staff are presented in this section.

Criterion 1. Administration and Scoring. The standardized procedure(s) for the administration and scoring of a measure should be fully described in the test's manual. A test manual should identify the qualifications necessary to administer the test appropriately. The standards for test administration and scoring specified in the manual should match the characteristics of the test. Any modification of standard test administration procedures or scoring should be fully described in the manual with appropriate cautions noted. A college or its representative that develops a test has the same obligation to supply manuals and technical reports as does a commercial test publisher. Standardized scoring instructions and rubrics are essential when the measure is a performance assessment.

Criterion 2. Interpretation: General. A test manual should identify qualifications necessary to interpret test results. Tests should not be interpreted as ability tests without considering alternative explanations. Screening measures should be used only for identifying individuals for further evaluation. Test users should not use interpretations of test results unless they have documentation that indicates the validity of the interpretations for the intended use and on the samples on which they were based.

A test user that makes educational decisions based on differences in scores, such as aptitude and achievement scores, should take into account the overlap between the constructs and the reliability or standard error of the difference score.

Criterion 3. Interpretation: Test for Certification. If a test is used to certify completion of a given education level or grade level, both the test domain and the instructional domain at the given grade or education level should be described with sufficient detail so that the agreement between the test domain and test content can be assessed. Also, the test should not cover materials that a student has not had an opportunity to learn. Students should have multiple opportunities to take such a measure.

Criterion 4. Test Materials. The testing materials should be readable and understandable. Materials should limit claims of test properties and characteristics to those conditions for which data exist to support the claim. Such support data should be documented.

Criterion 5. Decision Making. A decision or characterization that will have a major impact on a test taker must not be made solely or automatically on the basis of a single score. Decisions are to be made in conjunction with other test information, previous classroom performance, and opinions by advisors from discussions with students, etc.

Testing Special Groups

Recognition of the difficulties associated with using tests appropriately with groups with linguistic differences merit careful evaluation and study if assessment results are to be valid. Also, providing accommodations for testing persons with disabilities will improve the appropriateness of the measurement. Criteria that enhance measurement and subsequent evaluation for diverse populations are presented below.

Criterion 1. Testing Special Groups: General. Test administrators and users should not attempt to evaluate test takers whose special characteristics, ages, disabilities, or linguistic, generational, or cultural backgrounds are outside their range of experience. A test user should seek consultation regarding test selection, necessary modifications of testing procedures, and score interpretation.

Criterion 2. Test Design for Non-native English Speakers. Tests, their items and their administration instructions should be designed to minimize threats to validity and reliability that may arise from language differences. Any recommended linguistic modification should be described in detail. When a test is to be used with linguistically diverse test takers, information should be provided for appropriate use and interpretation. Translated tests should be evaluated for reliability, validity, and comparability with the English version.

Criterion 3. English Language Proficiency Tests for Non-native English Speakers. English language proficiency should not be determined solely with a test that demands only a single linguistic skill. The caution here is not limited to the test that is dependent on a single format (for example, a multiple-choice, paper and pencil device). The attention of this standard is focused on the breadth and depth of the construct being appraised. Users need to be aware of the needs of students in an academic environment and demand a complete range of language skills, that is for written as well as reading, oral and listening proficiency.

Criterion 4. Test Design for People with Disabilities. Expertise, both psychometric and training or experience with populations with disabilities, is a prerequisite to any modification of a test for an individual or group with disabilities. Knowledge of the effects of various disabilities on test performance is essential. Until validity data are obtained for scores secured from non-standardized testing conditions, documentation must be available and the results must be interpreted cautiously. Pilot testing of the modified measure(s) is strongly advised with persons having the same or similar disability. When feasible, time limits should be modified for the person with disabilities based on previously conducted reliability and validity studies.

Criterion 5. User Responsibility. Knowledge of alternative measures is a precondition to test selection for use with linguistic minorities or persons with

disabilities. When modified forms are available, they are to be used with these persons. Proper selection of appropriate norms to facilitate score interpretation is essential. Using personnel for test administration who have been specifically trained for the group or person to be tested is strongly encouraged.

Criteria Associated with Direct Performance Assessment

The preceding discussion of validity, reliability, scaling and equating, administration, and testing special groups offers guidelines for the evaluation of tests in general. Additional criteria are useful in the evaluation of the direct performance assessment, e.g., writing or oral interviews. With these tests, individuals are asked to write responses to a question, prompt or task which are scored following some well-defined procedure. Additional criteria are presented for these tests as they are scored using subjective rather than objective methods.

Validity

Three aspects unique to direct performance assessment need special attention where the validity standards are concerned:

1. question, prompt or task development procedures,
2. scoring procedures, and
3. multiple questions, prompts or tasks or the repetitive use of any one question, prompt or task over time.

For 1 and 2, the key focus will be on evidence documenting the standardized implementation of procedures. The quality of evidence on these two procedures will directly affect judgments about the appropriateness of using the same or different (but assumed parallel) questions, prompts or tasks across students on the same assessment occasion or across occasions, e.g., semester to semester (#3 above). The degree to which evidence suggests that the question, prompt or task development and scoring guidelines result in a standardized (consistent and well-defined) implementation of procedures will be critical in the overall validity review. As such, the emphasis in the review of evidence on validity for direct assessment of performance procedures will shift toward construct validity interpretations. For example, in the direct assessment of writing, content validity evidence as defined and reflected in the development and the subsequent fit of scoring procedures to actual course content will take on greater importance since the procedures must provide assurances that a process is in place that will result in student scores reflecting the identical writing skill construct across writing sample stimulus prompts that become the focus of instruction.

Reliability and Errors of Measurement

Reliability considerations remain in force as for multiple-choice examinations, but the focus of the reliability evidence changes. For example, if scoring systems for a measurement instrument are subjective, such that different scorers have opportunity to evaluate the same performance, but arrive at different scores (e.g., direct measures of writing), evidence of interrater reliability should be provided. Similarly, if multiple questions, prompts or tasks are being used to place different students within the same assessment period, equivalent forms of reliability evidence would be expected. Additionally, when appropriate, procedures or evidence should be presented addressing intrarater reliability issues and concerns to insure that rater drift does not occur over the scoring period. While stability coefficients are appropriate, the inter/intra-rater and equivalent-forms coefficients are viewed as most important.

Scaling, Norming, Score Comparability and Equating

As many of the direct performance measures are expected to be locally developed and used, there will be little need to attend to normative

transformations. However, two particular points from the **Standards** in this section need increased emphasis. First, the method used to compute the transformed (derived) scale or raw score needs to be clearly delineated. The rationale should address the relationship between the scaling methodology and the test's purpose. Similarly, when analytic and primary trait scoring methods are used, the total score is a composite of component scores. A rationale for inclusion of components, their scaling and any weighting of component scores in comprising the total score index should be provided.

A second primary consideration in this section for direct performance assessment is the documentation of the equivalence of forms when scores based on different questions, prompts or tasks are intended to be interchangeable. If the content of the instrumentation or the scoring procedures or criteria change across occasions, but the scale is intended to be comparable, the method for maintaining comparability should be described and be adequate for its intended use.

Standards for Administration, Scoring and Interpretation

Those standards stressing the need for a clear description of the standardized procedures for the scoring of a measure need emphasis from this section, given the concern over the subjectivity of the scoring models. Of particular note should be an expected description of procedures implemented to train potential scorers. Test security issues relative to the unintentional, but potential dissemination of question, prompt or task wording or content is a concern to be addressed under this standard.

Testing Special Groups

Special care needs to be taken when considering the appropriateness of direct performance assessments for special student groups due to the performance-based response format required. For example, the literature provides some evidence that scorers are potentially influenced by the physical appearance (neatness, writing legibility) of a writing sample, an outcome characteristic that may put some individuals with disabilities at a disadvantage while having nothing to do with their writing ability. Alternative means of responding may need to be incorporated into the assessment process for some groups (e. g., the visually impaired) with attention to any resultant influence on scoring.

SECTION THREE: **SPECIFIC CRITERIA FOR TEST USAGE FOR THE CALIFORNIA COMMUNITY COLLEGES**

The preceding section summarizes and abstracts portions of the Standards for Educational and Psychological Testing (APA, 1999) that are most relevant to the evaluation of measures used by the California Community Colleges. The **Standards** were written to help individuals assess the quality of all types of instruments and to describe the obligations of all parties involved in the testing process, including test developers and users. Because it offers standards for diverse measures and all interested parties, the **Standards** are written very broadly and often lack specificity for a particular application. For example, although the **Standards** clearly emphasize that validity evidence is required for the use of a test, the **Standards** do not suggest what type of validity evidence is needed for a test with some particular use or the required strength of the evidence.

Most tests used by California's community colleges are intended to help students select appropriate courses. The tests serve a placement purpose, offering students guidance as to whether they should enroll in a course at the beginning of the sequence of courses in mathematics, for example, or somewhat later in the sequence. Because of the specific nature of these measures and their common use within California's community colleges, more explicit criteria can be written for both the test developer and the test user than what are or could be presented in the **Standards**. It should be noted that a test user may be a college, a district, or a consortium of colleges that choose to work together to establish the suitability of a test.

More explicit criteria for the test user and test producer, referred to below as specific criteria, are needed and are desirable for a number of reasons. First, the diverse audiences involved in the California Community Colleges should understand the evaluation system used in the review process. In this sense, the **Standards** by themselves are too vague for establishing an evaluation policy. More specific criteria will allow all parties involved to understand what is required for the Chancellor to approve the use of an instrument. Second, with more specific criteria, test developers and users will be better able to estimate whether their tests need further refinements and documentation before being submitted for review. Accordingly, fewer tests will be reviewed and the tests that are reviewed are more likely to receive a favorable evaluation. Third, the decisions that are reached in the review process should be more consistent from year to year. Without explicit specific criteria, the likelihood is higher that the same instruments judged acceptable one year might be judged unacceptable another year because the interpretation of the **Standards** would vary across years. Fourth, the evaluation system is likely to be less arbitrary with explicit criteria. Finally, defining specific test criteria at the state level indicates a clear commitment on the part of the Chancellor's Office that tests be used to aid

students in making important academic decisions rather than preventing them from reaching their educational goals.

The expectation is that all specific criteria will be met. However, a test developer or user occasionally might not fulfill one or more of the specific criteria, but could still justify the use of the test. A test developer or user may indicate in writing why a specific criterion has not been met. Whether an exception is granted will be considered on a case-by-case basis.

In all cases there are two criteria which the test's technical report(s) must address and present evidence in order to attain even the lowest level of approval status. In the absence of such information, the test will not be approved for use in California Community Colleges. **There must be evidence of the test's validity for the intended purpose, and there must be evidence that the test minimizes cultural/linguistic bias, insensitivity and offensiveness.**

Assessment instruments presented for approval by second party publishers (Section I or III below) must provide acceptable criterion-related validity evidence; colleges locally managing an instrument (Section III) can meet the minimum validity condition by presenting acceptable content-, criterion- or consequential-related evidence. Second party publishers must at a minimum provide acceptable documentation addressing the freedom from bias, insensitivity and offensiveness based on both empirical and logical analysis findings (I.A.1.c or III.A.1.c below). It is noted, however, that meeting the minimum requirements is not sufficient to attain Full Approval status.

Specific criteria are presented below for three different types of tests:

- I. Objectively scored measures developed and maintained by a second party external to the California Community Colleges,
- II. Objectively scored measures developed or managed by a California Community College or district, and
- III. Performance Assessments.

The primary distinction between the two types of objectively scored tests is that in the second instance a California Community College or group of colleges has assumed the responsibilities of both the developer and the user. More specifically, objectively scored measures developed or managed by a California Community College fall into two categories:

1. those developed and used by a California Community College or district, or
2. those developed by an independent vendor and not approved by the Chancellor but whose use is deemed appropriate by a college or district, and that institution assumes responsibility for bringing the test into compliance with the **Standards** as a locally managed or controlled test.

Appendix A in this document provides a copy of the request form that a college must complete and include whenever it submits documentation to gain approval for the use of an assessment instrument.

The third type of tests, performance assessments, are those that require students to create a response or product as a demonstration of their knowledge or skill. These assessments often are referred to as a direct measure of knowledges or skills and require the active participation of the student in constructing a response to a question, prompt or task requirement. The student's response (behavior or product) is then typically scored following some well-defined procedure. Assessments requiring the production of a writing sample by students or oral responses to a set of interview questions are examples of performance assessments. The scores resulting from the evaluation of the quality of these writing samples or oral responses might then be used to advise students in making course placement decisions. For direct performance assessment measures, a different set of specific criteria are used in that these measures are scored using subjective rather than objective methods.

In general, the appropriate use of a test needs to be considered in light of all applicable standards described in the Standards for Educational and Psychological Tests (1999), the Code of Fair Testing Practices (NCME, 1988), and the Guidelines on Employee Selection Procedures (EEOC, 1978). Consequently, meeting the specific criteria described below is a necessary, but not sufficient, condition to receiving a favorable recommendation for a test's use. It should be noted that evaluating the appropriateness, suitability and usefulness of a particular test is an ongoing, continuous activity. Accordingly, as a test undergoes changes over time, it will be necessary for a test developer to re-evaluate it and to submit the results of studies for review and a recommendation by the Chancellor.

Finally, colleges have a responsibility for documenting and maintaining evidence of the appropriateness of those assessments they employ. As such, colleges are advised to prepare a "validity and fairness portfolio" for each sequence of courses in which results from assessment testing are used in generating student placement recommendations. The portfolio would constitute a body of evidence addressing the accuracy, utility and fairness of the assessment process, assessments and practices at the local college. The portfolio would include information on score validity and cut score validation, test bias, reliability, standard error of measurement, disproportionate impact and special testing accommodations.

The portfolio may include both fundamental and supplemental evidence of validity. It is educationally sound to base evidence of validity on a variety of sources of information. Beyond the evidence called for in this **Standards** guide, other relevant information may include student and faculty surveys reflecting on

satisfaction with placement recommendations, anecdotal information addressing assessment utility, independent investigation carried out by local users or others, etc. Refer to the Local Research Options-Assessment Validation Project, February 1991, for research designs in collecting supplemental data. Additionally, a monograph has been prepared that depicts exemplary research already completed by California Community Colleges (November 1993); this document is available through the Chancellor's Office.

A narrative should be included within the portfolio which summarizes the body of evidence supporting the use of the assessment instrument for placement into the sequence of courses. If findings are included which reflect negatively or questionably on the validity, utility and fairness of the instrument for any of the courses in the sequence, an explanation should be incorporated that clarifies why these outcomes are not of consequence for those courses.

The remainder of this Section presents standards for test developers, colleges and test users. Please note when considering the following explicit specifications of assessment standards, methods and criteria that validation should be viewed as an ongoing process. A college or publisher should continue to assemble information that may lead to changes and improvements in a test or will provide assurance that a test and its resultant scores continue to be suitable for California Community College students and the decisions based on these scores. To support this belief and expectation, the prior version (1998) of these standards introduced the concept of *Consequential-Related Validity* evidence which by its very nature needs to be ongoing and is generated after the initial evidence is provided for approval of an instrument. Further, the ongoing data collection and documentation efforts associated with a test can be used to explore and extend evidence addressing multiple measurements associated with the test instrument and student performance. In the case of multiple measures, the goal over time for a college would be to identify companion measures that support an existing test or a separate assessment that provides for a more complete or comprehensive assessment of the criterion behavior.

A Summary Matrix of the specific requirements detailed in the following sections is provided on pages 43 to 47. This matrix summarizes the requirements and expectations for each standard that publishers and colleges need to meet for each level of approval, i.e., to attain probationary, provisional or full approval status.

I. Specific Criteria for Objectively Scored Measures Developed and Maintained by a Second Party External to the California Community Colleges

A. Primary Responsibility of the Test Developer

1. Validity and Fairness

- a. Content-Related Validity Evidence. The test developer is to describe the content of the test's items with sufficient and clear specificity. Explicit statements of test objectives and tables of specification need to be available to inform college users. Based on these sources of content description, users at community colleges are able to consider the test's appropriateness for making placement recommendations for a sequence of courses at their colleges.

So that local colleges can conduct required content-related validity, test publishers must provide test booklets or a sufficient representative sample of test items (in the case of computerized tests) such that local colleges may conduct an item-by-item review. If a sample of items is provided, the number should be such that they represent what is a psychometrically sound single form of a traditional paper-and-pencil administered form of the test.

- b. Criterion-Related or Consequential-Related Validity Evidence. Data must be presented to indicate that the test is useful for making placement decisions for California Community College student populations and courses in these colleges. Empirical evidence should support the following conclusion: test takers who achieve scores within some specified range should take a different course or set of courses in comparison with test takers who score outside that range. Several different approaches to data collection are allowable in securing evidence that support this conclusion. Either criterion-related or consequential-related evidence is permissible to meet this standard. As a general principle, criterion-related studies are most appropriate when the test being evaluated has not been used for placement into specific courses; consequential-related studies are most appropriate when scores on the test being evaluated have been used to assist student placement into specific courses. For criterion-related studies, use of a variety of designs and variables as criteria are permitted. This includes mean difference or correlational designs. Criterion variables might include student ratings of ability to meet course requirements, instructor ratings of students' abilities to meet course requirements, midterm grades or test scores, final exam grades or test scores, etc.

When submitting evidence to meet this standard, the following design criteria should be met: the course content should bear a close logical relationship with courses offered by the California Community Colleges; the students should be similar to the students enrolled in the California Community Colleges; when used as the primary index, the correlation between the test and a student's readiness to assimilate course content or performance (e.g., mid-term grade, student or instructor evaluation, end-of-course grade) should be substantial; and, across all data sets presented by a test publisher, the average correlation should be greater than or equal to .35 (or a comparable value if an alternative statistical analysis was performed). The magnitude of the correlation may vary as a function of the degree to which a test was used to place students in the course under investigation and/or the variation in grading standards across classrooms. Coefficients corrected for restriction of range are acceptable.

As a guide, supportive data from at least six community colleges are required to attain full approval status; supportive data from at least four community colleges are required to attain provisional approval status; and supportive data from at least three community colleges are required to attain probationary approval status. Additionally, a majority of the colleges included must be California Community Colleges representing the diversity of courses and students in the California Community College system, i.e., 4 of 6, 3 of 4 or 2 of 3, to attain a specific approval level status.

- c. Evidence Addressing Test Bias. Evidence focusing on cultural/linguistic bias, insensitivity and offensiveness must be provided. This work should be done on student groups that are similar to those ordinarily served by the California Community Colleges. This evidence needs to be of two types: evaluations of test items by culturally and linguistically diverse panels and results from test data that address bias. The findings from these investigations should be used to eliminate or minimize test bias, insensitivity, and offensiveness.

2. Reliability and Errors of Measurement

- a. Reliability. The stability of a placement test should be evaluated. The stability may be assessed by either administering the same test on two occasions (test-retest approach) or administering one form of a test on one occasion and a second form of a test believed to be equivalent on a second occasion (equivalent-forms approach). In order to assess stability, the time between the two testings should be at least two weeks for either approach. The minimum sample size required for an acceptable study is 50 individuals. The resulting correlation coefficients between test scores on two occasions are to be .75 or higher. If subtest scores are used to make placement decisions, the correlations between these occasions for these subtest scores must also be .75 or higher.
- b. Standard Errors of Measurement. Standard errors of measurement are to be provided for intervals across the score scale or at likely cut points.

3. Testing Special Groups.

- a. Publishers who seek to have assessment instruments approved for use in the California Community Colleges must agree to provide the test and response forms in alternate media upon request of a college. Testing instruments must be available in a place and manner accessible to persons with disabilities or offer alternative accessible arrangements for such individuals (i.e., Braille, large print, audiotape, and electronic tests). We believe this is consistent with the intent of Section 36.309 of the

American with Disabilities Act and applies to all publishers of testing instruments. Such a commitment is required for a test to be placed on the Chancellor's list of approved tests.

B. Primary Responsibility of the Local College or District

Colleges using an approved second party instrument are to maintain information and documentation locally that addresses the following Standards. This material should be up-dated every five years and will be evaluated during each on-site review team visit. The evidence to be assembled is to be done by the local college and is not the duty of the second-party publisher to perform the data collection for the local college.

1. Validity and Fairness

- a. Content-Related Validity Evidence. The college is to provide a comprehensive description of the appropriateness of a test for placement into a course or courses in a sequence at the college based on the overlap of knowledges and skills measured by the test and those knowledges/skills required as prerequisites to the course(s). Content-related validity evidence for a test's scores needs to be grounded in statements of specific pre-course expectations (i.e., prerequisite skills) which can then be linked to the actual tested skills (i.e., test items). Documentation of specific prerequisite skills is critical to portraying a course along with its objectives which together define the skills needing to be evaluated on a given test. Information addressing the extent of the link between pre-course skill requirements and the specific content measured by the test provides strong rational evidence of the content representativeness of the test for the course.

Procedurally, local college faculty are to evaluate the content representativeness of the test by participating in an item-by-item evaluation of the test content with reference to the skills and/or body of knowledge deemed necessary at entrance to each course within the sequence into which placement recommendations would occur based on performance on the test. Summary information that describes how and the extent to which judges (i.e., instructors) evaluate the fit between the test item content and skills required by the course(s) is to be provided. From such a faculty review process, data and tabulations addressing the extent of the match between critical (or representative) pre-course skills and assessed content/skills are to be reported. As complementary information, the necessary prerequisites not evaluated by the instrument should be noted as well as those skills/content tested that are not relevant to a placement decision into a specific course.

Specifically, the minimum data required* from a college to address content-related validity evidence must respond to the following test characteristics based on faculty evaluation of an instrument:

- Are the specific pre-course skills and content knowledge that need to have been mastered by a student to be placed appropriately in a course measured by the instrument?
- To what extent are these pre-course skills adequately assessed by the candidate instrument's items? Then, to what extent do the

* When the test can be used to "test out" of a course or course sequence (e.g., ESL), then a content-related validity evaluation **must** also document and judge the appropriateness and representativeness of the test's items for the objectives of that course.

test's items assess skills and knowledge that are not pre-course expectations?

The higher the extent of the overlap judged by instructors between course prerequisite skills and those skills measured by the test, the stronger the evidence in support of content-related validity. The extent to which a test measures non-prerequisite skills is to be documented and considered when judging the appropriateness of the test.

NOTE: Direct evidence addressing the criterion-related validity or consequential-related validity Standards is not necessarily required. Such evidence or similar evidence need only be submitted if an empirical design is chosen as the procedure for establishing or validating cut-scores.

- b. Criterion-Related Validity Evidence. Evidence addressing criterion-related validity need only be collected if such a design were implemented as the mechanism to provide the empirical validation of local cut-scores. (See Section I. B. 1. e. below)
- c. Consequential-Related Validity Evidence. Evidence addressing consequential-related validity need only be collected if such a design were implemented as the mechanism to provide the empirical validation of local cut-scores. . (See Section I. B. 1. e. below)
- d. Evidence Addressing Test Bias. Local community colleges will review the evidence addressing test bias supplied by the test developer (see I.A.1.c) to ensure that the results are generalizable to their colleges.
- e. Evidence Addressing Adequacy of the Cut Score(s). It is the local community college's responsibility to validate its Cut Scores. Data are to be collected by the individual college to justify the selection of any Cut Scores or score ranges used for placement advice. The adequacy of any cut score may be demonstrated by either a judgmental or empirical approach. A judgmental approach typically focuses on setting the initial cut score. However, if such judgmental data are to be used as the only evidence to support the adequacy of the cut score, then a formal procedure documented in the literature on setting cut-scores needs to be implemented (See Berk, 1986 and Jaeger, 1989 for appropriate procedures). Not only do the process and the results need to be documented, but also a description of the persons involved and their credentials for having participated in the process need to be provided.

As related to empirical procedures, at a minimum the data should demonstrate that individuals who score above the cut score or within the

score range identified have a greater expectancy of success (e.g., appear to be more prepared for the course based on instructor ratings, or a mid-term grade, or obtaining a C grade or higher) in a specific course for which placement recommendations are made than those who score below the score or score range. . Several different approaches to data collection are allowable in securing evidence that support this conclusion. Either criterion-related or consequential-related evidence is permissible to meet this standard. As a general principle, criterion-related studies are most appropriate when the test being evaluated has not been used for placement into specific courses; consequential-related studies are most appropriate when scores on the test being evaluated have been used to assist student placement into specific courses. For criterion-related studies, use of a variety of designs and variables as criteria are permitted. This includes mean difference or correlational designs. Criterion variables might include student ratings of ability to meet course requirements, instructor ratings of students' abilities to meet course requirements, midterm grades or test scores, final exam grades or test scores, etc.

If a consequential-related validity design is used as the primary source of cut-score validity data, the following are to be considered. Under any approach chosen by a college, at a minimum items (A) and (B) below must be formally addressed, and positive evaluations on questions such as these must be reported for the instrument to be fully approved. Other research questions are possible and other investigative orientations are encouraged. (Items C and D which follow are optional and illustrative, but could be extremely useful sources of information to colleges who may choose to pursue such lines of inquiry.)

- (A) After the first few weeks of a course, how do students whose test scores recommend placement into a particular class evaluate the appropriateness and/or usefulness of their placement in that course? (The Standard is at least 75% affirmative endorsement by students.)
- (B) After the first few weeks of a class, how do instructors evaluate the readiness of individual students (those who follow their test performance recommendations) to undertake the material of their class? (The Standard is at least 75% judgment of proper placement by instructors.)
- (C) For students who opt not to follow a test's recommendation, how do these students fare (in terms of material learned, suitability of the placement, and their likelihood of successful matriculation) in the classes into which they choose to enroll, and can such performance be justified/expected?

- (D) What do students and instructors identify as undesirable results of an “incorrect” course placement and what are the consequences (on students, instructors, academic units and the institution) of such decisions?

Methods and procedures for carrying out such inquiries are a local college decision and preference. Proper and reasonable investigative approaches are expected to be followed (e.g., double blind experimentation, sufficient sample sizes, maintaining an objective judgment process, etc.).

2. Reliability and Errors of Measurement.

- a. Local community colleges will review the evidence addressing reliability and errors of measurement supplied by the test developer (refer to I.A.2) to ensure that the results are generalizable to their colleges.

3. Impact of Testing on Various Groups

- a. Disproportionate Impact. Disproportionate impact must be monitored on an ongoing basis for various demographic groups (including gender, age, racial, ethnic, and disability groups [refer to page 6]). A record of these data is to be maintained and periodically evaluated. These studies are expected to be conducted at least every three years. When disproportionate impact is observed, the college/district shall, in consultation with the State Chancellor, develop and implement a plan describing the steps the college or district will take to correct the disproportionate impact, including studies of differential prediction (Title 5, Section 55512 [a]). Colleges may consult the EEOC guidelines (see pp. 11 and 24) and the Local Research Options Handbooks (November 1989 and February 1991) for clarification on the definition, identification and treatment of disproportionate impact. The notion that disproportionate impact is to be continuously monitored must not be overlooked.
- b. Standardization. If the instrument is revised for testing of individuals who cannot take the tests under standard conditions, then there must be documentation of all changes along with the basis for any change. The justification for changed or altered assessment instruments or procedures must be on file at the local college.

II. Specific Criteria for Objectively Scored Tests Developed or Managed by a California Community College or District

A. Primary Responsibility of the Local College or District

1. Validity and Fairness

- a. **Content-Related Validity Evidence.** The college is to provide a comprehensive description of the appropriateness of a test for placement into a course or courses in a sequence at the college based on the overlap of knowledges and skills measured by the test and those knowledges/skills required as prerequisites to the course(s). Content-related validity evidence for a test's scores needs to be grounded in statements of specific pre-course expectations (i.e., prerequisite skills) which can then be linked to the actual tested skills (i.e., test items). Documentation of specific prerequisite skills is critical to portraying a course along with its objectives which together define the skills needing to be evaluated on a given test. Information addressing the extent of the link between pre-course skill requirements and the specific content measured by the test provides strong rational evidence of the content representativeness of the test for the course.

Procedurally, local college faculty are to evaluate the content representativeness of the test by participating in an item-by-item evaluation of the test content with reference to the skills and/or body of knowledge deemed necessary at entrance to each course within the sequence into which placement recommendations would occur based on performance on the test. Summary information that describes how and the extent to which judges (i.e., instructors) evaluate the fit between the test item content and skills required by the course(s) is to be provided. From such a faculty review process, data and tabulations addressing the extent of the match between critical (or representative) pre-course skills and assessed content/skills are to be reported. As complementary information, the necessary prerequisites not evaluated by the instrument should be noted as well as those skills/content tested that are not relevant to a placement decision into a specific course.

Specifically, the minimum data required* from a college to address content-related validity evidence must respond to the following test characteristics based on faculty evaluation of an instrument:

* When the test can be used to "test out" of a course or course sequence (e.g., ESL), then a content-related validity evaluation **must** also document and judge the appropriateness and representativeness of the test's items for the objectives of that course.

- Are the specific pre-course skills and content knowledge that need to have been mastered by a student to be placed appropriately in a course measured by the instrument?
- To what extent are these pre-course skills adequately assessed by the candidate instrument's items? Then, to what extent do the test's items assess skills and knowledge that are not pre-course expectations?

The higher the extent of the overlap judged by instructors between course prerequisite skills and those skills measured by the test, the stronger the evidence in support of content-related validity. The extent to which a test measures non-prerequisite skills is to be documented and considered when judging the appropriateness of the test.

NOTE: Direct evidence addressing the criterion-related validity or consequential-related validity Standards is not necessarily required. Such evidence or similar evidence need only be submitted if an empirical design is chosen as the procedure for establishing or validating cut-scores.

- b. Criterion-Related Validity Evidence. Evidence addressing criterion-related validity need only be collected if such a design were implemented as the mechanism to provide the empirical validation of local cut-scores. (See Section II. A. 1. e. below)
- c. Consequential-Related Validity Evidence. Evidence addressing consequential-related validity need only be collected if such a design were implemented as the mechanism to provide the empirical validation of local cut-scores. (See Section II. A. 1. e. below)
- d. Evidence Addressing Test Bias. Evidence focusing on cultural/linguistic bias, insensitivity and offensiveness must be provided. This evidence needs to consist of evaluations of test items by diverse panels who reflect the college's student population or results from test data that address bias. A description of the panel members' appropriateness for conducting the review should be included if that method is used. The findings from these investigations should be used to eliminate or minimize test bias, insensitivity, and offensiveness. When a college is using a second-party instrument for which there is adequate evidence from the test publisher or from another college's study that the instrument minimizes bias, offensiveness and insensitivity, then additional data from the college is not required. The latter evidence may be cited. A college may also supplement such available evidence as needed.

- e. Evidence Addressing Adequacy of the Cut Score(s). It is the local community college's responsibility to validate its Cut Scores. Data are to be collected by the individual college to justify the selection of any Cut Scores or score ranges used for placement advice. The adequacy of any cut score may be demonstrated by either a judgmental or empirical approach. A judgmental approach typically focuses on setting the initial cut score. However, if such judgmental data are to be used as the only evidence to support the adequacy of the cut score, then a formal procedure documented in the literature on setting cut-scores needs to be implemented (See Berk, 1986 and Jaeger, 1989 for appropriate procedures). Not only do the process and the results need to be documented, but also a description of the persons involved and their credentials for having participated in the process need to be provided.

As related to empirical procedures, at a minimum the data should demonstrate that individuals who score above the cut score or within the score range identified have a greater expectancy of success (e.g., appear to be more prepared for the course based on instructor ratings, or a mid-term grade, or obtaining a C grade or higher) in a specific course for which placement recommendations are made than those who score below the score or score range. . Several different approaches to data collection are allowable in securing evidence that support this conclusion. Either criterion-related or consequential-related evidence is permissible to meet this standard. As a general principle, criterion-related studies are most appropriate when the test being evaluated has not been used for placement into specific courses; consequential-related studies are most appropriate when scores on the test being evaluated have been used to assist student placement into specific courses. For criterion-related studies, use of a variety of designs and variables as criteria are permitted. This includes mean difference or correlational designs. Criterion variables might include student ratings of ability to meet course requirements, instructor ratings of students' abilities to meet course requirements, midterm grades or test scores, final exam grades or test scores, etc.

If a consequential-related validity design is used as the primary source of cut-score validity data, the following are to be considered. Under any approach chosen by a college, at a minimum items (A) and (B) below must be formally addressed, and positive evaluations on questions such as these must be reported for the instrument to be fully approved. Other research questions are possible and other investigative orientations are encouraged. (Items C and D which follow are optional and illustrative, but could be extremely useful sources of information to colleges who may choose to pursue such lines of inquiry.)

- (A) After the first few weeks of a course, how do students whose test scores recommend placement into a particular class evaluate the appropriateness and/or usefulness of their placement in that course? (The Standard is at least 75% affirmative endorsement by students.)
- (B) After the first few weeks of a class, how do instructors evaluate the readiness of individual students (those who follow their test performance recommendations) to undertake the material of their class? (The Standard is at least 75% judgment of proper placement by instructors.)
- (C) For students who opt not to follow a test's recommendation, how do these students fare (in terms of material learned, suitability of the placement, and their likelihood of successful matriculation) in the classes into which they choose to enroll, and can such performance be justified/expected?
- (D) What do students and instructors identify as undesirable results of an "incorrect" course placement and what are the consequences (on students, instructors, academic units and the institution) of such decisions?

Methods and procedures for carrying out such inquiries are a local college decision and preference. Proper and reasonable investigative approaches are expected to be followed (e.g., double blind experimentation, sufficient sample sizes, maintaining an objective judgment process, etc.).

2. Reliability and Errors of Measurement

- a. Reliability. Either the internal consistency or the stability of a placement test should be evaluated. Evidence documenting the internal consistency reliability should be based on appropriate procedures, e.g., split-half coefficients, Kuder-Richardson indices, alpha coefficients, etc. The minimum acceptable value from these internal consistency measures is set at .80. The stability may be assessed by either administering the same test on two occasions (test-retest approach) or administering one form of a test on one occasion and a second form of a test believed to be equivalent on a second occasion (equivalent-forms approach). In order to assess stability, the time between testings should be at least two weeks for either approach. The resulting correlation coefficients between test scores on two occasions are to be .75 or higher. If subtest scores are used to make placement decisions, the correlations between these occasions for these subtest scores must also be .75 or higher. A minimum sample size on which any reliability

index is to be based is set at 50 individuals. A college using a second-party test for which stability coefficients exist from either the publisher or another college, and that meet the California Community College assessment standards, may rely on this information to support evidence of reliability. If an internal consistency approach to addressing the reliability of a test's scores is chosen, that index needs to be based on a study involving the students at the college.

- b. Standard Errors of Measurement. Standard errors of measurement are to be provided for the entire test, for intervals across the score scale or for the cut point.

3. Impact of Testing on Various Groups

- a. Disproportionate Impact. Disproportionate impact must be monitored on an ongoing basis for various demographic groups (including gender, age, racial, ethnic, and disability groups [refer to page 7]). A record of these data is to be maintained and periodically evaluated. These studies are expected to be conducted at least every three years. When disproportionate impact is observed, the college/district shall, in consultation with the State Chancellor, develop and implement a plan describing the steps the college or district will take to correct the disproportionate impact, including studies of differential prediction (Title 5, Section 55512 [a]). Colleges may consult the EEOC guidelines (see pp. 11 and 24) and the Local Research Options Handbooks (November 1989 and February 1991) for clarification on the definition, identification and treatment of disproportionate impact. The notion that disproportionate impact is to be continuously monitored must not be overlooked.

For the initial submission for approval of a test the college is to submit their plan describing how data on disproportionate impact will be monitored and evaluated locally. Actual data and findings are not an expectation at the time of a first submission, although information is welcomed if available. When a test instrument is submitted for approval later under the "renewal" process, the college must submit findings from their disproportionate impact monitoring, and actions and results that may have followed based on findings. Full renewal approval will be possible only when disproportionate impact findings are reported and judged acceptable.

- b. Standardization. If the instrument is revised for testing of individuals who cannot take the tests under standard conditions, then there must be documentation of all changes along with the basis for any change. The justification for changed or altered assessment instruments or procedures must be on file at the local college.

III. Specific Criteria for Direct Performance Assessments

Note: Performance assessments as discussed in this section include direct writing samples, oral interviews and other performance-based tasks that are scored using a well-defined (i.e., operational) scoring rubric.

A. Primary Responsibilities of Second-Party Direct Performance Assessment Developers

1. Validity and Fairness

- a. Content-Related Validity Evidence. Detailed documentation must be provided describing the guidelines for the development of performance assessment questions, prompts or tasks and the related scoring rubrics. Documentation should also include a description of the development and scoring procedures for the questions, prompts or tasks. A description of how the raters are trained to yield standardization in the performance assessment process and outcomes should be provided.
- b. Criterion-Related or Consequential-Related Validity Evidence. Data must be presented to indicate that the test is useful for making placement decisions for California Community College student populations and courses in these colleges. Empirical evidence should support the following conclusion: test takers who achieve scores within some specified range should take a different course or set of courses in comparison with test takers who score outside that range. Several different approaches to data collection are allowable in securing evidence that support this conclusion. Either criterion-related or consequential-related evidence is permissible to meet this standard. As a general principle, criterion-related studies are most appropriate when the test being evaluated has not been used for placement into specific courses; consequential-related studies are most appropriate when scores on the test being evaluated have been used to assist student placement into specific courses. For criterion-related studies, use of a variety of designs and variables as criteria are permitted. This includes mean difference or correlational designs. Criterion variables might include student ratings of ability to meet course requirements, instructor ratings of students' abilities to meet course requirements, midterm grades or test scores, final exam grades or test scores, etc.

When submitting evidence to meet this standard, the following design criteria should be met: the course content should bear a close logical relationship with courses offered by the California Community Colleges;

the students should be similar to the students enrolled in the California Community Colleges; when used as the primary index, the correlation between the test and a student's readiness to assimilate course content or performance (e.g., mid-term grade, student or instructor evaluation, end-of-course grade) should be substantial; and, across all data sets presented by a test publisher, the average correlation should be greater than or equal to .35 (or a comparable value if an alternative statistical analysis was performed). The magnitude of the correlation may vary as a function of the degree to which a test was used to place students in the course under investigation and/or the variation in grading standards across classrooms. Coefficients corrected for restriction of range are acceptable.

As a guide, supportive data from at least six community colleges are required to attain full approval status; supportive data from at least four community colleges are required to attain provisional approval status; and supportive data from at least three community colleges are required to attain probationary approval status. Additionally, a majority of the colleges included must be California Community Colleges representing the diversity of courses and students in the California Community College system, i.e., 4 of 6, 3 of 4 or 2 of 3, to attain a specific approval level status.

- c. Evidence Addressing Test Bias. Evidence focusing on cultural/linguistic bias, insensitivity and offensiveness must be provided. This evidence needs to be of two types: evaluations of questions, prompts or tasks by culturally and linguistically diverse panels and results from score data that address bias. These studies need to be done using groups that are similar to those student groups ordinarily served by the California Community Colleges. The findings from these investigations should be used to eliminate or minimize test bias, insensitivity, and offensiveness. When assessment procedures are in place to contend with possible bias, for example providing students a choice of questions, prompts or tasks or placing no restriction on question, prompt or task chosen, the methodology must be clearly stated and described so a determination of equivalence of scoring may be determined.

2. Reliability

- a. Reliability. Interscorer reliability coefficients should be provided. If correlation coefficients are provided, these coefficients should be greater than .70. If percent agreement indices are provided, they should yield at least 90 percent agreement between scores, where an agreement is within 1 scale point on a 6-point scale. Additionally, how inconsistencies between scorers are resolved should be described.

When multiple question sets, prompts, or tasks are in use, equivalent-forms reliability coefficients should be reported for a subsample of available questions, sets, prompts, or tasks in use. The resulting correlation coefficients between scores on different question sets, prompts, or tasks should be .75 or higher.

3. Testing Special Groups.

- a. Publishers who seek to have assessment instruments approved for use in the California Community Colleges must agree to provide the test and response forms in alternate media upon request of a college. Testing instruments must be available in a place and manner accessible to persons with disabilities or offer alternative accessible arrangements for such individuals (i.e., Braille, large print, audiotape, and electronic tests). We believe this is consistent with the intent of Section 36.309 of the American with Disabilities Act and applies to all publishers of testing instruments. Such a commitment is required for a test to be placed on the Chancellor's list of approved tests.

B. Primary Responsibilities of the Local College or District for a Second-Party Developed Performance Assessment

Colleges using an approved second party instrument are to maintain information and documentation locally that addresses the following Standards. This material should be up-dated every five years and will be evaluated during each on-site review team visit. The evidence to be assembled is to be done by the local college and is not the duty of the second-party publisher to perform the data collection for the local college.

1. Validity and Fairness

- a. Content-Related Validity Evidence. The college is to provide a comprehensive description of the appropriateness of a test for placement into a course or courses in a sequence at the college based on the overlap of knowledges and skills measured by the assessment and those knowledges/skills required as prerequisites to the course(s). Content-related validity evidence for a performance assessment's scores needs to be grounded in statements of specific pre-course expectations (i.e., prerequisite skills) which can then be linked to the actual tested skills (i.e., test items). Documentation of specific prerequisite skills is critical to portraying a course along with its objectives which together define the skills needing to be evaluated by a given assessment. Information addressing the extent of the link between pre-course skill requirements and the specific content measured by the assessment provides strong rational evidence of the content representativeness of the test for the course.

Procedurally, local college faculty are to evaluate the content representativeness of the performance assessment by participating in an evaluation of the question, prompt or task content with reference to the skills and/or body of knowledge deemed necessary at entrance to each course within the sequence into which placement recommendations would occur based on the scoring of responses to the performance assessment. Summary information that describes how and the extent to which judges (i.e., instructors) evaluate the fit between the content of the questions, prompts or tasks and skills required by the course(s) is to be provided. From such a faculty review process, data and tabulations addressing the extent of the match between critical (or representative) pre-course skills and assessed content/skills are to be reported. As complementary information, the necessary prerequisites not evaluated by the instrument should be noted as well as those skills/content tested that are not relevant to a placement decision into a specific course.

Specifically, the minimum data required* from a college to address content-related validity evidence must respond to the following test characteristics based on faculty evaluation of a performance assessment instrument:

- Are the specific pre-course skills and content knowledge that need to have been mastered by a student to be placed appropriately in a course measured by the performance assessment?
- To what extent are these pre-course skills adequately assessed by the performance assessment's rubric? Then, to what extent do the assessment's rubric evaluate skills and knowledge that are not pre-course expectations?

The higher the extent of the overlap judged by instructors between course prerequisite skills and those skills measured by the instrument, the stronger the evidence in support of content-related validity. The extent to which an instrument measures non-prerequisite skills is to be documented and considered when judging the appropriateness of the instrument.

NOTE: Direct evidence addressing the criterion-related validity or consequential-related validity Standards is not necessarily required. Such evidence or similar evidence need only be submitted if an empirical

* When the test can be used to “test out” of a course or course sequence (e.g., ESL), then a content-related validity evaluation **must** also document and judge the appropriateness and representativeness of the test's items for the objectives of that course.

design is chosen as the procedure for establishing or validating cut-scores.

- b. Criterion-Related Validity Evidence. Evidence addressing criterion-related validity need only be collected if such a design were implemented as the mechanism to provide the empirical validation of local cut-scores. (See Section III. B. 1. e. below)
- c. Consequential-Related Validity Evidence. Evidence addressing consequential-related validity need only be collected if such a design were implemented as the mechanism to provide the empirical validation of local cut-scores. . (See Section III. B. 1. e. below)
- d. Evidence Addressing Test Bias. Local community colleges will review the evidence addressing test bias supplied by the test developer (see III.A.1.c) to ensure that the results are generalizable to their colleges.
- e. Evidence Addressing Adequacy of the Cut Score(s). It is the local community college's responsibility to validate its Cut Scores. Data are to be collected by the individual college to justify the selection of any Cut Scores or score ranges used for placement advice. The adequacy of any cut score may be demonstrated by either a judgmental or empirical approach. A judgmental approach typically focuses on setting the initial cut score. However, if such judgmental data are to be used as the only evidence to support the adequacy of the cut score, then a formal procedure documented in the literature on setting cut-scores needs to be implemented (See Berk, 1986 and Jaeger, 1989 for appropriate procedures). Not only do the process and the results need to be documented, but also a description of the persons involved and their credentials for having participated in the process need to be provided.

As related to empirical procedures, at a minimum the data should demonstrate that individuals who score above the cut score or within the score range identified have a greater expectancy of success (e.g., appear to be more prepared for the course based on instructor ratings, or a mid-term grade, or obtaining a C grade or higher) in a specific course for which placement recommendations are made than those who score below the score or score range. . Several different approaches to data collection are allowable in securing evidence that support this conclusion. Either criterion-related or consequential-related evidence is permissible to meet this standard. As a general principle, criterion-related studies are most appropriate when the test being evaluated has not been used for placement into specific courses; consequential-related studies are most appropriate when scores on the test being evaluated have been used to assist student placement into specific

courses. For criterion-related studies, use of a variety of designs and variables as criteria are permitted. This includes mean difference or correlational designs. Criterion variables might include student ratings of ability to meet course requirements, instructor ratings of students' abilities to meet course requirements, midterm grades or test scores, final exam grades or test scores, etc.

If a consequential-related validity design is used as the primary source of cut-score validity data, the following are to be considered. Under any approach chosen by a college, at a minimum items (A) and (B) below must be formally addressed, and positive evaluations on questions such as these must be reported for the instrument to be fully approved. Other research questions are possible and other investigative orientations are encouraged. (Items C and D which follow are optional and illustrative, but could be extremely useful sources of information to colleges who may choose to pursue such lines of inquiry.)

- (A) After the first few weeks of a course, how do students whose test scores recommend placement into a particular class evaluate the appropriateness and/or usefulness of their placement in that course? (The Standard is at least 75% affirmative endorsement by students.)
- (B) After the first few weeks of a class, how do instructors evaluate the readiness of individual students (those who follow their test performance recommendations) to undertake the material of their class? (The Standard is at least 75% judgment of proper placement by instructors.)
- (C) For students who opt not to follow a test's recommendation, how do these students fare (in terms of material learned, suitability of the placement, and their likelihood of successful matriculation) in the classes into which they choose to enroll, and can such performance be justified/expected?
- (D) What do students and instructors identify as undesirable results of an "incorrect" course placement and what are the consequences (on students, instructors, academic units and the institution) of such decisions?

Methods and procedures for carrying out such inquiries are a local college decision and preference. Proper and reasonable investigative approaches are expected to be followed (e.g., double blind experimentation, sufficient sample sizes, maintaining an objective judgment process, etc.).

2. Reliability

- a. Local community colleges will review the evidence addressing reliability supplied by the test developer (see III.A.2) to insure that the results are generalizable to their colleges.

3. Impact of Testing on Various Groups

- a. Disproportionate Impact. Disproportionate impact must be monitored for various demographic groups (including gender, age, racial, linguistic and disability groups [refer to page 7]). A record of these data is to be maintained. These studies are expected to be conducted at least every three years. When there is a disproportionate impact, the district shall, in consultation with the State Chancellor, develop and implement a plan describing the steps the district will take to correct the disproportionate impact, including studies of differential prediction (Title 5, Section 55512 [a]). Colleges may consult the EEOC guidelines (see pp. 11 and 24) and the Local Research Options Handbooks (November 1989 and February 1991) for clarification on the definition, identification and treatment of disproportionate impact. The notion that disproportionate impact is to be continuously monitored must not be overlooked.
- b. Standardization. If the instrument is revised for testing of individuals who cannot take the tests under standard conditions, then there must be documentation of all changes along with the basis for any change. The justification for changed or altered assessment instruments or procedures must be on file at the local college.

C. Primary Responsibilities of the Local College or District Developed or Managed Direct Performance Assessment

1. Validity and Fairness

- a. Content-Related Validity Evidence. The college is to provide a comprehensive description of the appropriateness of a performance assessment for placement into a course or courses in a sequence at the college based on the overlap of knowledges and skills measured by the performance assessment and those knowledges/skills required as prerequisites to the course(s). Content-related validity evidence for a performance assessment's scores needs to be grounded in statements of specific pre-course expectations (i.e., prerequisite skills) which can then be linked to the actual tested skills (i.e., performance assessment questions, prompts or tasks). Documentation of specific prerequisite skills are critical to portraying a course along with its objectives which together define the skills needing to be evaluated on a given

performance assessment. Information addressing the extent of the link between pre-course skill requirements and the specific content measured by the performance assessment provides strong rational evidence of the content representativeness of the performance assessment for the course.

Procedurally, local college faculty are to evaluate the content representativeness of the performance assessment by participating in an evaluation of the question, prompt or task content with reference to the skills and/or body of knowledge deemed necessary at entrance to each course within the sequence into which placement recommendations would occur based on the scoring of responses to the performance assessment. Summary information that describes how and the extent to which judges (i.e., instructors) evaluate the fit between the content of the questions, prompts or tasks and skills required by the course(s) is to be provided. From such a faculty review process, data and tabulations addressing the extent of the match between critical (or representative) pre-course skills and assessed content/skills are to be reported. As complementary information, the necessary prerequisites not evaluated by the instrument should be noted as well as those skills/content tested that are not relevant to a placement decision into a specific course.

Specifically, the minimum data required* from a college to address content-related validity evidence must respond to the following test characteristics based on faculty evaluation of a performance assessment instrument:

- Are the specific pre-course skills and content knowledge that need to have been mastered by a student to be placed appropriately in a course measured by the performance assessment?
- To what extent are these pre-course skills adequately assessed by the performance assessment's rubric? Then, to what extent do the assessment's rubric evaluate skills and knowledge that are not pre-course expectations?

The higher the extent of the overlap judged by instructors between course prerequisite skills and those skills measured by the performance assessment, the stronger the evidence in support of content-related validity. The extent to which a performance assessment measures non-prerequisite skills is to be documented and considered when judging its appropriateness.

* When the test can be used to "test out" of a course or course sequence (e.g., ESL), then a content-related validity evaluation **must** also document and judge the appropriateness and representativeness of the test's items for the objectives of that course.

In addition, documentation must be supplied describing the development of performance assessment questions, prompts or tasks and the related scoring rubrics. Documentation should also include a description of the resulting products, i.e., the questions, prompts, or tasks and the rubric used in scoring. A description of how the raters are trained to yield standardization in the performance assessment process and outcomes should be provided as well.

NOTE: Direct evidence addressing the criterion-related validity or consequential-related validity Standards is not necessarily required. Such evidence or similar evidence need only be submitted if an empirical design is chosen as the procedure for establishing or validating cut-scores.

- b. Criterion-Related Validity Evidence. Evidence addressing criterion-related validity need only be collected if such a design were implemented as the mechanism to provide the empirical validation of local cut-scores. (See Section III. C. 1. e. below)
- c. Consequential-Related Validity Evidence. Evidence addressing consequential-related validity need only be collected if such a design were implemented as the mechanism to provide the empirical validation of local cut-scores. . (See Section III. C. 1. e. below)
- d. Evidence Addressing Test Bias. Evidence focusing on cultural/linguistic bias, insensitivity and offensiveness must be provided. This evidence needs to consist of evaluations of the questions, prompts or tasks by diverse panels who reflect the college's student population or results from score data that address bias. A description of the panel members' appropriateness for conducting the review should be included. The findings from these investigations should be used to eliminate or minimize test bias, insensitivity, and offensiveness. . When a college is using a second-party instrument for which there is adequate evidence from the test publisher or from another college's study that the instrument minimizes bias, offensiveness and insensitivity, then additional data from the college is not required. The latter evidence may be cited. A college may also supplement such available evidence as needed.

When assessment procedures are in place to contend with possible bias, for example providing students a choice of questions, prompts or tasks or placing no restriction on question, prompt or task chosen, the

methodology must be clearly stated and described so a determination of equivalence of scoring may be determined.

- e. Evidence Addressing Adequacy of the Cut Score(s). It is the local community college's responsibility to validate its Cut Scores. Data are to be collected by the individual college to justify the selection of any Cut Scores or score ranges used for placement advice. The adequacy of any cut score may be demonstrated by either a judgmental or empirical approach. A judgmental approach typically focuses on setting the initial cut score. However, if such judgmental data are to be used as the only evidence to support the adequacy of the cut score, then a formal procedure documented in the literature on setting cut-scores needs to be implemented (See Berk, 1986 and Jaeger, 1989 for appropriate procedures). Not only do the process and the results need to be documented, but also a description of the persons involved and their credentials for having participated in the process need to be provided.

As related to empirical procedures, at a minimum the data should demonstrate that individuals who score above the cut score or within the score range identified have a greater expectancy of success (e.g., appear to be more prepared for the course based on instructor ratings, or a mid-term grade, or obtaining a C grade or higher) in a specific course for which placement recommendations are made than those who score below the score or score range. . Several different approaches to data collection are allowable in securing evidence that support this conclusion. Either criterion-related or consequential-related evidence is permissible to meet this standard. As a general principle, criterion-related studies are most appropriate when the test being evaluated has not been used for placement into specific courses; consequential-related studies are most appropriate when scores on the test being evaluated have been used to assist student placement into specific courses. For criterion-related studies, use of a variety of designs and variables as criteria are permitted. This includes mean difference or correlational designs. Criterion variables might include student ratings of ability to meet course requirements, instructor ratings of students' abilities to meet course requirements, midterm grades or test scores, final exam grades or test scores, etc.

If a consequential-related validity design is used as the primary source of cut-score validity data, the following are to be considered. Under any approach chosen by a college, at a minimum items (A) and (B) below must be formally addressed, and positive evaluations on questions such as these must be reported for the instrument to be fully approved. Other research questions are possible and other investigative orientations are encouraged. (Items C and D which follow are optional and illustrative,

but could be extremely useful sources of information to colleges who may choose to pursue such lines of inquiry.)

- (A) After the first few weeks of a course, how do students whose test scores recommend placement into a particular class evaluate the appropriateness and/or usefulness of their placement in that course? (The Standard is at least 75% affirmative endorsement by students.)
- (B) After the first few weeks of a class, how do instructors evaluate the readiness of individual students (those who follow their test performance recommendations) to undertake the material of their class? (The Standard is at least 75% judgment of proper placement by instructors.)
- (C) For students who opt not to follow a test's recommendation, how do these students fare (in terms of material learned, suitability of the placement, and their likelihood of successful matriculation) in the classes into which they choose to enroll, and can such performance be justified/expected?
- (D) What do students and instructors identify as undesirable results of an "incorrect" course placement and what are the consequences (on students, instructors, academic units and the institution) of such decisions?

Methods and procedures for carrying out such inquiries are a local college decision and preference. Proper and reasonable investigative approaches are expected to be followed (e.g., double blind experimentation, sufficient sample sizes, maintaining an objective judgment process, etc.).

2. Reliability

- a. Reliability. Interscorer reliability coefficients should be provided. If correlation coefficients are provided, these coefficients should be greater than .70. If percent agreement indices are provided, they should yield at least 90 percent agreement between scores, where an agreement is within 1 scale point on a 6-point scale. Additionally, how inconsistencies between scorers are resolved should be described.

When multiple question sets, prompts or tasks are in use, equivalent-forms reliability coefficients should be reported for a subsample of available question sets, prompts or tasks in use. The resulting correlation coefficients between scores on different question sets, prompts or tasks should be .75 or higher.

3. Impact of Testing on Various Groups

- a. Disproportionate Impact. Disproportionate impact must be monitored on an ongoing basis for various demographic groups (including gender, age, racial, ethnic, and disability groups [refer to page 7]). A record of these data is to be maintained and periodically evaluated. These studies are expected to be conducted at least every three years. When disproportionate impact is observed, the college/district shall, in consultation with the State Chancellor, develop and implement a plan describing the steps the college or district will take to correct the disproportionate impact, including studies of differential prediction (Title 5, Section 55512 [a]). Colleges may consult the EEOC guidelines (see pp. 11 and 24) and the Local Research Options Handbooks (November 1989 and February 1991) for clarification on the definition, identification and treatment of disproportionate impact. The notion that disproportionate impact is to be continuously monitored must not be overlooked.

- b. Standardization. If the instrument is revised for testing of individuals who cannot take the test under standard conditions, then there must be documentation of all changes along with the basis for any change. The justification for changed or altered assessment instruments or procedures must be on file at the local college.

The matrix on pages 43 to 47 presents a summary of the requirements and expectations discussed above.

SECTION FOUR: SPECIFIC CRITERIA FOR COMPUTER TESTING

(The following applies to second party publishers, and locally controlled and managed assessments.)

A new generation of testing formats provides for assessments that present tests via electronic media, i.e., computer testing. In this framework, tests are typically computer administered or computer adaptive tests. In the case of the former, computer administered testing, the presentation of a fixed assessment is controlled by the computer wherein all examinees are administered the same test in a standardized format. Variation from the traditional paper and pencil format could include controlling the time examinees are given to respond to an item, not allowing examinees to return to items already presented, allowing for or supporting a “respond until correct” approach, etc. In the framework of computer adaptive testing, the items administered to each examinee are selected from an item pool uniquely intended for the person based on the pattern of correct and incorrect answers to previous questions. In computer adaptive testing, two examinees may take different questions yet both will receive a score on the same scale. Both approaches, computer adaptive and computer-administered tests are becoming commonplace in testing. The California community colleges allow the use of assessments in the computer testing or traditional paper and pencil formats.

Criteria associated with the review and evaluation of computer tests follow below. In most cases, the criteria and guidelines presented in Section II & III apply to electronically formatted testing. The criteria presented below enhance and in some cases modify those requirements and expectations. As this is a relatively new and evolving area, publishers are advised to contact the Chancellor Office to determine if there may have been changes to these specific criteria.

A. Primary Responsibility of the Test Developer

1. Validity and Fairness

- a. Content-Related Validity Evidence. The test developer is to describe the content of the test's items with sufficient and clear specificity. Explicit statements of test objectives and tables of specification need to be available to inform college users. Based on these sources of content description, users at community colleges are able to consider the test's appropriateness for making placement recommendations for a sequence of courses at their colleges.

So that local colleges can conduct required content-related validity, test publishers must provide test booklets or a sufficient representative sample of test items such that local colleges may conduct an item-by-

item review. If a sample of items is provided, the number should be such that they represent what is a psychometrically sound single form of a traditional paper-and-pencil administered form of the test.

Further, in the case of computer adaptive tests that rely on item banks (also known as item pools) from which items are chosen as testing is initiated or underway (i.e., a non standard collection of questions are administered to examinees), there must be documentation of the algorithms (rational or empirical) that are used to select items which lead to estimates of examinees' scores. Presentation and discussion of the conditions regarding the selection of the tested subset of items that assures the representative of and appropriateness for the content domain test specifications being evaluated needs to be offered.

Given the newness of computer testing, it is desirable for there to be sample and illustrative testing modules so as to inform and advise prospective users in their decision to adopt a device.

Publishers must provide documentation that item pools will be periodically (i.e., annually) reviewed to excise items that are no longer appropriate for the content domain(s) being evaluated. As item pools can be extremely large collections of items, unlike traditional paper and pencil tests whose structure is finite and fixed, some computer test items may become outdated and otherwise inappropriate for the pool and thus inappropriate for domain measurement.

- b. Criterion-Related or Consequential-Related Validity Evidence. Data must be presented to indicate that the test is useful for making placement decisions for California Community College student populations and courses in these colleges. Empirical evidence should support the following conclusion: test takers who achieve scores within some specified range should take a different course or set of courses in comparison with test takers who score outside that range. Several different approaches to data collection are allowable in securing evidence that support this conclusion. Either criterion-related or consequential-related evidence is permissible to meet this standard. As a general principle, criterion-related studies are most appropriate when the test being evaluated has not been used for placement into specific courses; consequential-related studies are most appropriate when scores on the test being evaluated have been used to assist student placement into specific courses. For criterion-related studies, use of a variety of designs and variables as criteria are permitted. This includes mean difference or correlational designs. Criterion variables might include student ratings of ability to meet course requirements, instructor

ratings of students' abilities to meet course requirements, midterm grades or test scores, final exam grades or test scores, etc.

When submitting evidence to meet this standard, the following design criteria should be met: the course content should bear a close logical relationship with courses offered by the California Community Colleges; the students should be similar to the students enrolled in the California Community Colleges; when used as the primary index, the correlation between the test and a student's readiness to assimilate course content or performance (e.g., mid-term grade, student or instructor evaluation, end-of-course grade) should be substantial; and, across all data sets presented by a test publisher, the average correlation should be greater than or equal to .35 (or a comparable value if an alternative statistical analysis was performed). The magnitude of the correlation may vary as a function of the degree to which a test was used to place students in the course under investigation and/or the variation in grading standards across classrooms. Coefficients corrected for restriction of range are acceptable.

As a guide, supportive data from at least six community colleges are required to attain full approval status; supportive data from at least four community colleges are required to attain provisional approval status; and supportive data from at least three community colleges are required to attain probationary approval status. Additionally, a majority of the colleges included must be California Community Colleges representing the diversity of courses and students in the California Community College system, i.e., 4 of 6, 3 of 4 or 2 of 3, to attain a specific approval level status.

- c. Evidence Addressing Test Bias. Evidence focusing on cultural/linguistic bias, insensitivity and offensiveness must be provided. This work should be done on student groups that are similar to those ordinarily served by the California Community Colleges. This evidence needs to be of two types: evaluations of test items by culturally and linguistically diverse panels and results from test data that address bias. The findings from these investigations should be used to eliminate or minimize test bias, insensitivity, and offensiveness.

Further, in the case of computer adaptive tests that rely on item banks (pools) from which items are chosen, it may be the case that not all items in the pool can realistically be empirically "pre-evaluated" for bias/differential item functioning. To permit data to be gathered by the publisher and allow the colleges to have access to promising and potentially acceptable testing tools, the following accommodations are permitted. First, irrespective of the live exposure rate for items, all items

contained in the test pool must have been subjected to logical review by impacted group members following acceptable procedures.

Given the above, not more than 20 percent of the items in the scoreable pool of items are to be items for which an empirical bias study has yet to be evaluated. It is expected that within three years of the inclusion of an item(s) in the pool that lacks empirical bias evaluation, that the item(s) will be statistically reviewed and a decision made to maintain or release the item from the pool. Gathering data and evaluation of such items is the responsibility of the publisher.

2. Reliability and Errors of Measurement

- a. Reliability. The stability of a placement test should be evaluated. The stability may be assessed by either administering the same test on two occasions (test-retest approach) or administering one form of a test on one occasion and a second form of a test believed to be equivalent on a second occasion (equivalent-forms approach). In order to assess stability, the time between the two testings should be at least two weeks for either approach. The minimum sample size required for an acceptable study is 50 individuals. The resulting correlation coefficients between test scores on two occasions are to be .75 or higher. If subtest scores are used to make placement decisions, the correlations between these occasions for these subtest scores must also be .75 or higher.

In the case of computer administered tests that previously were available in the paper and pencil mode, prior Approval does not automatically transfer to a computer version of that assessment. For a paper/pencil test, for prior Approval status to generalize to the computer version of that assessment, at a minimum an equivalence form reliability evaluation is required. The minimum acceptable coefficient to attain some level of Approval for the computer test is .80. Publishers are not limited to the equivalence forms design. Alternative data gathering and analysis models will be considered. Nevertheless, there must be documented a high level of consistency between scores obtained in the differing formats for Approval to generalize between the assessments. In effect, claims of test equivalence must be supported by evidence.

- b. Standard Errors of Measurement. Standard errors of measurement are to be provided for intervals across the score scale or at likely cut points.

3. Testing Special Groups.

- a. Publishers who seek to have assessment instruments approved for use in the California Community Colleges must agree to provide the test and response forms in alternate media upon request of a college. Testing instruments must be available in a place and manner accessible to

persons with disabilities or offer alternative accessible arrangements for such individuals (i.e., Braille, large print, audiotape, and electronic tests). We believe this is consistent with the intent of Section 36.309 of the American with Disabilities Act and applies to all publishers of testing instruments. Such a commitment is required for a test to be placed on the Chancellor's list of approved tests.

Further, when speededness or amount of time allowed an examinee for testing is a factor associated with performance on a computer test, then the computer assessment system must provide for training and assistance for examinees to assure that the format for testing does not interfere with the achievement estimate for the examinee.

The Manuals made available to test administrators must clearly and explicitly detail instructions and expectations associated with novel formats associated with the assessment (for example, how to save data or re-administer an assessment when there is a power failure, machine lock-up, how to attend to examinees who evidence significant anxiety related to the testing format, etc.).

Administrative Manuals must address and detail the technical properties of computer adaptive tests. Considerations as to interpretation of scores and scoring algorithms, how initiating items are chosen, stopping rules, item exposure control, security and non-traditional administrations, etc. must be formally and completely described. Suitable accommodations for examinees with learning difficulties must be provided for.

SECTION FIVE: **SPECIFIC CRITERIA FOR "CRITICAL MASS" APPROVAL OF AN INSTRUMENT**

The concept of "critical mass" pertains to situations where evidence on a specific assessment instrument addressing the standards has independently accumulated or been produced by design across several California Community Colleges such that its approval status may be judged to be generalizable to other colleges, and therefore, should be available for their use as a second-party test. The principle of "critical mass" and criteria for its application in attaining approval for a specific instrument are as follows.

Definition of Critical Mass. Any instrument for which evidence has been submitted by a minimum of six colleges from six different Community College districts as a locally managed instrument with approval status (as defined below) on the Chancellor's list shall be available as an approved test on the Chancellor's list for use by other colleges. Such an instrument is to be viewed by other colleges in terms of local responsibilities as a second-party instrument on the Chancellor's list.

1. The concept of critical mass for use with the test instrument approval process allows California Community Colleges to generalize to their own college data compiled by their colleagues in validating the fairness and appropriateness of an assessment instrument without having to replicate all of the data collection normally required for locally managed test instruments.
2. Critical mass applies when there is a sufficient number of colleges who collaborate on their validation efforts and submit the required data as a group. If approval is granted, the instrument will be placed on the Chancellor's Office Approved List as a second-party test. In submitting evidence, the criteria for local management of a test instrument would be followed. Studies would need to be conducted by **each** college for content validity and cut score validity. Group studies or aggregated data could be submitted for test bias evidence, reliability data and standard error of measurement (SEM). SEM could be represented by a single college's data. In addition, empirical item bias evidence is required but may be waived. A consortium of colleges that wishes to follow the critical mass process needs to apply to the Chancellor's Office providing notification of its intent and justification for that approach. In that application the consortium may request a waiver of the empirical item bias requirement.
3. The colleges constituting a critical mass need to be a representative sample of community college student populations (e.g., gender, age, race/ethnicity, etc.). A "sufficient" number of colleges is defined as, at a minimum, six colleges from six different community college districts.

4. Test instruments that are outside of basic skills (i.e., other than reading, writing, math and ESL) can pursue approval from the Chancellor's Office only through the critical mass approach delineated under 2b above. Test instruments, outside of basic skills, which don't have the sufficient number of colleges to constitute a critical mass approval will not be reviewed by the Chancellor's Office and may not be used for placement by colleges (Title 5 §55521).
5. The approval period for the instrument as a second-party test will commence when the test is approved as meeting critical mass criteria.
6. After an instrument has been placed on the Chancellor's list via the critical mass process, it will be considered a second-party instrument and the local colleges' responsibilities will be those listed in Section III criteria I.B. or III.B. of this document.

Information in the matrix on pages 43 to 47 summarizes the specific requirements for each standard that need to be met for each level of "critical mass" approval.

SECTION SIX: SPECIFIC CRITERIA FOR THE "RENEWAL" OF A TEST INSTRUMENT'S APPROVAL STATUS

An assessment instrument is considered approved (initially or following these renewal guidelines) for a six-year period starting with the time at which status in any of the three approval categories is attained. In order for a measure to remain on the Chancellor's list of approved instruments as this time period expires, sufficient evidence addressing the Standards will need to be submitted in advance of the expiration date to allow for the timely renewal of the instrument for an additional six-year period of approved use. That is, instruments nearing completion of six years of "approval" status are required to re-submit information and documentation in advance so that continued use can be maintained by colleges. In an attempt to maintain continuity in the use of second-party instruments, second-party publishers are required to submit renewal evidence at least one year in advance of the approval expiration date for the instrument. While not encouraged to wait until the last moment, colleges may wait to submit renewal information at either of the two review dates during the sixth and final year of approval. Under the renewal provisions that follow, an assessment instrument under "renewal" review may be placed in any one of the three approval categories. If a renewal instrument is probationally or provisionally approved, the timelines for attaining full approval status are the same as for first-time approval requests.

The approval "renewal" process is viewed as a time when instruments, evidence and procedures are to be "re-examined" relative to their appropriateness and continued use for placement in California Community Colleges. This requirement derives from the notion that the collection of evidence and the evaluation of the appropriateness of an instrument's use as a placement tool should be an ongoing and continuous process. As such, each of the standards needs to be re-evaluated by the test publisher, the local college and the MAC Assessment Workgroup.

The extent to which standards (validity, reliability, Cut Scores, test bias and disproportionate impact) are to be addressed was detailed in Sections I, II and III of this document. Information in the matrix (pages 43 to 47) summarizes the specific requirements for each standard that publishers and colleges need to meet for "renewal" approval. Note that when a local college continues to use a second-party approved test, they still have a responsibility to up-date their evidence on content-related validity, cut-score validity and disproportionate impact during the renewal period. This up-dated evidence is to be kept on file for review at the time of the matriculation on-site review visit. Also note that all data supporting the renewal of an instrument must be collected within the last three (3) year period of the initial renewal submission date.

**Matrix of requirements for each standard
that publishers and colleges need to meet for each level of approval**

PROBATIONARY STATUS: First level of approval (good for 2 years from approval)

AREA	1a. PUBLISHER RESPONSIBILITY TO GET TEST ON CO APPROVED LIST	1b. CRITICAL MASS: RESPONSIBILITY of 6 COLLEGES TO GET TEST ON CO APPROVED LIST <i>Each college must do:</i>	3a. CAMPUS RESPONSIBILITY IF USING A 2 nd PARTY TEST NOT ON THE CO APPROVED LIST (Locally Managed)	3b. CAMPUS RESPONSIBILITY IF CAMPUS DEVELOPED OWN TEST (Locally Developed)	4. CAMPUS RESPONSIBILITY IF CAMPUS DEVELOPED PERFORMANCE ASSESSMENT (e.g., writing sample)
CONTENT VALIDITY	Content-related description of test and provide enough test items so colleges can do content validity study	Item by item analysis comparing each test item to each course prerequisite.	Item by item analysis comparing each test item to each course prerequisite.	Item by item analysis comparing each test item to each course prerequisite.	Content: Content of Scoring Rubric for the writing prompt by Course Prerequisite Skills
CRITERION OR CONSEQUENTIAL VALIDITY	Supportive Criterion or Consequential Validity Evidence from at least 3 community colleges, the majority of which are from California.				
RELIABILITY					
TEST BIAS	Test bias evidence a. test bias panel <u>and</u> b. empirical	Test bias using panel to judge test items. OR Cite one or more community colleges with similar demographics who have conducted test	Test bias using panel to judge test items. OR Cite one or more community colleges with similar demographics who have conducted test	Test bias using panel to judge test items.	Test bias using panel to judge test items.

		bias study OR Cite publisher's test bias studies on students with similar demographics.	bias study OR Cite publisher's test bias studies on students with similar demographics.		
CUT SCORE VALIDATION	Not applicable (Local college responsibility)	Cut Score rationale - <u>initial</u> setting of cut scores by judgmental or empirical approach	Cut Score rationale – <u>initial</u> setting of cut scores by judgmental or empirical approach	Cut Score rationale - <u>initial</u> setting of cut scores by judgmental or empirical approach	Cut Score rationale - <u>initial</u> setting of cut scores by judgmental or empirical approach
DISPROPORTIONATE IMPACT	Not applicable (Local college responsibility)	Plan to monitor disproportionate impact for various demographic groups	Plan to monitor disproportionate impact for various demographic groups	Plan to monitor disproportionate impact for various demographic groups	Plan to monitor disproportionate impact for various demographic groups
ADA	Alternative versions available	Accommodations provided	Accommodations provided	Accommodations provided	Accommodations provided

PROVISIONAL STATUS: Many to most, but not all standards met (good for one year from approval)

FULL APPROVAL STATUS: All standards met (good for six years from first approval; must be reached by three years from first approval)

AREA	1. PUBLISHER RESPONSIBILITY TO GET TEST ON CO APPROVED LIST	CRITICAL MASS: RESPONSIBILITY of 6 COLLEGES TO GET TEST ON CO APPROVED LIST <i>Each college must do (unless noted)</i>	3a. CAMPUS RESPONSIBILITY IF USING A 2 nd PARTY TEST NOT ON THE CO APPROVED LIST (Locally Managed)	3b. CAMPUS RESPONSIBILITY IF CAMPUS DEVELOPED OWN TEST (Locally Developed)	4. CAMPUS RESPONSIBILITY IF CAMPUS DEVELOPED PERFORMANCE ASSESSMENT (e.g., writing sample)
CONTENT VALIDITY	Content-related description of test and provide enough test items so colleges can do content validity study	Item by item analysis comparing each test item to each course prerequisite.	Item by item analysis comparing each test item to each course prerequisite.	Item by item analysis comparing each test item to each course prerequisite.	Content: Content of Scoring Rubric for the writing prompt by Course Prerequisite Skills
CRITERION OR CONSEQUENTIAL VALIDITY	Supportive Criterion or Consequential Validity Evidence presented from at least 4 community colleges for provisional and 6 for full approval, the majority of which are from California.				
RELIABILITY	Test-Retest Reliability Standard Errors of Measurement (SEM)	May pool data from one or more colleges: Standard Errors of Measurement (SEM) Internal Consistency at each college (.80 minimum) or	Standard Errors of Measurement (SEM) Internal Consistency (.80 minimum) or Test-Retest Reliability (.75 minimum) OR Cite test-retest reliability studies from	Standard Errors of Measurement (SEM) Internal Consistency (.80 minimum) or Test-Retest Reliability .75 minimum Minimum sample size of 50	Inter-Rater Reliability Minimum .70 correlation coefficient or 90 percent agreement

		<p><i>May pool data from one or more colleges:</i></p> <p>Test-Retest Reliability (.75 minimum)</p> <p>OR</p> <p>Cite test-retest reliability studies from publisher.</p> <p>Minimum sample size of 50</p>	<p>publisher</p> <p>OR</p> <p>Cite the evidence from <u>1 or more</u> community colleges that have done <u>test-retest</u> reliability studies.</p> <p>Minimum sample size of 50</p>		
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PROVISIONAL STATUS: Many to most, but not all standards met (good for one year from approval)

FULL APPROVAL STATUS: All standards met (good for six years from first approval; must be reached by three years from 1st approval)

(Continued)

AREA	1. PUBLISHER RESPONSIBILITY TO GET TEST ON CO APPROVED LIST	CRITICAL MASS: RESPONSIBILITY of 6 COLLEGES TO GET TEST ON CO APPROVED LIST <i>Each college must do (unless noted)</i>	3a. CAMPUS RESPONSIBILITY IF USING A 2 nd PARTY TEST NOT ON THE CO APPROVED LIST (Locally Managed)	3b. CAMPUS RESPONSIBILITY IF CAMPUS DEVELOPED OWN TEST (Locally Developed)	4. CAMPUS RESPONSIBILITY IF CAMPUS DEVELOPED PERFORMANCE ASSESSMENT (e.g., writing sample)
TEST BIAS	Test bias evidence a. test bias panel <u>and</u> b. empirical	Test bias using panel to judge test items. OR Cite one or more community colleges with similar demographics who have conducted test bias study OR Cite publisher's test bias studies on students with similar demographics.	Test bias using panel to judge test items. OR Cite one or more community colleges with similar demographics who have conducted test bias study OR Cite publisher's test bias studies on students with similar demographics..	Test bias evidence a. test bias panel <u>or</u> b. empirical	Test bias evidence a. test bias panel <u>or</u> b. empirical
CUT SCORE VALIDATION	Not applicable	Cut Score rationale: <u>initial</u> setting of cut scores by either judgmental or empirical approach.	Cut Score rationale: <u>initial</u> setting of cut scores by either judgmental or empirical approach.	Cut Score rationale: <u>initial</u> setting of cut scores by either judgmental or empirical approach.	Cut Score rationale: <u>initial</u> setting of cut scores by either judgmental or empirical approach.
DISPROPORTIONATE IMPACT	Not applicable	Disproportionate impact monitored for various demographic groups	Disproportionate impact monitored for various demographic	Disproportionate impact monitored for various demographic	Disproportionate impact monitored for various

March, 2001

		every 3 years.	groups every 3 years.	groups every 3 years.	demographic groups every 3 years.
ADA ACCOM- MODATIONS	Alternative versions available	Accommodations provided	Accommodations provided	Accommodations provided	Accommodations provided

RENEWAL: if content of test or course or demographics have not changed (must be renewed at 6 years from initial approval)

AREA	1. PUBLISHER RESPONSIBILITY TO GET TEST ON CO APPROVED LIST <i>(Must provide evidence that they are going to submit evidence for renewal one year prior to the renewal deadline)</i>	CRITICAL MASS: RESPONSIBILITY of 6 COLLEGES TO GET TEST ON CO APPROVED LIST <i>Each college must do (unless noted)</i>	3a. CAMPUS RESPONSIBILITY IF USING A 2 nd PARTY TEST NOT ON THE CO APPROVED LIST (Locally Managed)	3b. CAMPUS RESPONSIBILITY IF CAMPUS DEVELOPED OWN TEST (Locally Developed)	4. CAMPUS RESPONSIBILITY IF CAMPUS DEVELOPED PERFORMANCE ASSESSMENT (e.g., writing sample)
CONTENT VALIDITY	Content-related description of test and provide enough test items so colleges can do content validity	Item by item analysis comparing each test item to each course prerequisite.	Item by item analysis comparing each test item to each course prerequisite.	Item by item analysis comparing each test item to each course prerequisite.	Content: Content of Scoring Rubric for the writing prompt by Course Prerequisite Skills
CRITERION OR CONSEQUENTIAL VALIDITY	Supportive Criterion or Consequential Validity Evidence presented from at least 6 California Community Colleges				
CUT SCORE VALIDATION		Cut score validation will need some empirical evidence (e.g., through criterion or consequential validity).	Cut score validation will need some empirical evidence (e.g., through criterion or consequential validity).	Cut score validation will need some empirical evidence (e.g., through criterion or consequential validity).	Cut score validation will need some empirical evidence (e.g., through criterion or consequential validity).
DISPROPORTIONATE IMPACT		Disproportionate impact monitored for various demographic groups every 3 years.	Disproportionate impact monitored for various demographic groups every 3 years.	Disproportionate impact monitored for various demographic groups every 3 years.	Disproportionate impact monitored for various demographic groups every 3 years.

March, 2001

ADA ACCOM- MODATIONS	Alternative versions available	Accommodations provided	Accommodations provided	Accommodations provided	Accommodations provided
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CAMPUS RESPONSIBILITY IF USING TEST ON CCCCCO APPROVED LIST
 (these materials are to be kept on campus and will be reviewed during each
 matriculation site visit)

AREA	CAMPUS RESPONSIBILITY IF USING TEST ON CO APPROVED LIST
CONTENT VALIDITY	Item by item analysis comparing each test item to each course prerequisite: a. For each test item, how many course prerequisites does it measure? b. For each course prerequisite, how many test items measure it? (See II.A.1.a. for details)
CRITERION OR CONSEQUENTIAL VALIDITY	
RELIABILITY	
TEST BIAS	
CUT SCORE VALIDATION	Cut Score rationale – <u>initial</u> setting of cut scores by either judgmental or empirical approach.
DISPROPORTIONATE IMPACT	Disproportionate Impact monitored for various demographic groups every 3 years.
ADA ACCOMMODATIONS	Accommodations provided

SECTION SEVEN: THE PROCESS FOR REVIEWING ASSESSMENTS USED IN THE CALIFORNIA COMMUNITY COLLEGE SYSTEM

The review of instruments to be used on California Community College campuses is a responsibility shared among the Chancellor's Office, the colleges and districts, test developers, and users of the particular test, as well as agents or agencies contracted to provide specific review and evaluation services. In this section the steps are presented that identify the process by which assessment instruments are reviewed. The responsibilities of the various parties are discussed.

The chart below summarizes timelines and reporting/submission requirements for colleges and second party publishers.

Reporting Requirements and Timeline

<u>Type of Test</u>	<u>Initial Submission</u>	<u>Renewal Requirements</u>
Second-Party Publishers	As available, submit request and evidence to California Community Colleges Chancellor's Office.	Renewal request and evidence is to be submitted no later than five years from the time an instrument was initially placed on the Chancellor's List of approved tests.
Colleges using approved Second-Party instruments	Conduct studies and maintain files, documentation and reports at the local college. Materials reviewed during matriculation site visits.	Up-date evidence as needed for examination during matriculation site visit 6-year review cycle.
Locally managed or developed test	Submit required documentation to California Community Colleges Chancellor's Office.	Renewal request and evidence is to be submitted no later than six years from the time an instrument was initially placed on the Chancellor's List of approved tests.

The Chancellor of the California Community Colleges is vested with the responsibility to allow or disallow use of any instrument on the campuses. Procedurally, the Chancellor, in coming to a specific decision, seeks the advice of the Matriculation Advisory Committee (MAC) and this group relies on its Assessment Work Group to guide MAC's recommendations to the Chancellor. In addition, the Chancellor's Office assumes responsibility to communicate instrument evaluation results to the appropriate testing agency responsible for the production and distribution of the instrument.

The evaluation results are to be based on those professional standards that guide educational and psychological testing, and on the requirements identified in AB3 and the Title 5 matriculation regulations. While the instrument review steps are discussed in terms of activities leading to a recommendation to the Chancellor, the process can also be adopted by a local district for arriving at its own decisions regarding a particular assessment instrument or process. The approach and procedures for the review of instruments are as follows.

Step 1. Compile Information on Assessment Instruments.

The quality of the recommendation made by the MAC to the Chancellor depends upon the quality of the information available to it. Consequently, as much information as possible should be available to the committee, including but not limited to the test and its manuals, technical reports, and for second party tests reviews such as those found in the Mental Measurement Yearbooks, articles that review a test published in professional journals and books, and technical reports prepared by California Community College users. Assembling this information is the responsibility of the psychometric experts contracted by the Chancellor's Office to serve as consultants to this process. Test developers are to be contacted and asked to provide copies of tests, test documents and related technical reports.

Although much of the documentation on a measure is likely to be supplied by the instrument's developer and made available in a manual, in time the user has the responsibility for supplying information that indicates that a measure is being used appropriately.

Step 2. Perform Psychometric Expert Review.

The information gathered in Step 1 will be reviewed by at least two psychometric experts. The psychometric experts must have received doctorates in a measurement-related area or have had five or more years experience in an occupation requiring expertise in tests and measurement. They must have a broad understanding of both theoretical and applied issues associated with testing so that they can make informed recommendations to the MAC Assessment Work Group. These experts will evaluate an instrument based primarily on criteria presented in the Standards for Educational and Psychological Testing, as well as the evaluation criteria that have been prepared specifically for the evaluation of instruments for the California Community Colleges. Reviewers may also use other guidelines that are commonly accepted by the psychometric community such as the Code of Fair Testing Practices in Education. In addition, the measure must be reviewed to ensure its compliance with the matriculation regulations. Selecting and defining the workscope of the psychometric experts is a responsibility of the Chancellor's Office and the MAC Assessment Work Group.

Step 3. Perform Content Expert Review (for second-party tests at the time of initial review).

For Second-Party tests, the test documentation gathered in Step 1 will also be reviewed by at least two subject matter content experts. (Note: This External Review will be conducted for second-party tests at the time of "renewal" evaluation also.) For example, if a measure purports to assess "Preparedness for Calculus," individuals who understand the preparatory information for learning calculus and the information that is presented in a calculus course would be

solicited to review the information concerning the test as well as the test itself. These reviewers will be selected from lists of potential content experts recommended by members of the MAC Assessment Work Group as being knowledgeable about specific content area courses for which an assessment instrument is presumed to have value. To the extent possible, content expert reviewers will be chosen to reflect the diversity of experiences with a given instrument in the colleges. The content reviewers' primary focus is to evaluate: 1) the match among the rationale underlying the measure as stated in the manual or by the user, the items on the measure, and the suggested interpretation of scores relative to the test's intended use, and 2) the content appropriateness for the diverse populations served in the California Community Colleges. The content experts will file a written report with the psychometric experts so that they may have as complete an understanding of the quality of the measure as possible. A review form will be utilized to guide and standardize the content expert's review.

Step 4. Perform Matriculation Advisory Committee (MAC) Assessment Work Group Review.

The MAC Assessment Work Group consists of individuals who work within the California Community Colleges. Its charge is to serve in an advisory capacity to the psychometric experts, the Matriculation Advisory Committee and the Chancellor's staff. The members include a cross-section of individuals who have expertise in assessment, research and evaluation or testing, are responsible for administering, scoring and interpreting tests, are faculty members of community colleges, or are community college administrators. They also serve as liaisons with the field. Once the procedures for the instrument review have been finalized, the Work Group is consulted and informed regarding the actual evaluation of instruments. The psychometric experts present their findings and judgments to the Work Group. Members of the Work Group are asked to review the experts' evaluations and to offer their opinions of the evaluations. Since the members have an understanding of how assessment measures are used within the community colleges, they are able to give feedback about the evaluation of an assessment measure as it applies to decisions made at the community colleges. The Work Group may solicit additional information from test developers or test users, if necessary.

Step 5. Generate Recommendations.

For each test evaluated, a written report is to be filed by the psychometric experts with the Chancellor's Office. Prior to filing a recommendation with the Chancellor regarding the first review of a specific test, a Preliminary Test Evaluation will be shared with the test publisher. The preliminary filing with the test producer will give the developer the opportunity to be informed about the report and to respond to it. A period of fourteen days following the preliminary filing will be allowed for the test producer to provide additional information that might lead to modification of the recommendation report. The interim period is

not planned for the developer to assemble, analyze and report on "new" data gathered in response to the preliminary findings; rather, the interval provides an opportunity for the test developer to supply information that may be already available but not previously provided for the review.

The report filed by the psychometric experts includes a summary of the opinions of the content experts, the MAC Assessment Work Group, and available information gleaned from external test reviews, test publishers, and the psychometric experts for the measure. The report offers a specific recommendation concerning the use of the measure. The recommendation will be in one of four categories: (A1) Full Approval; (A2) Provisional Approval; (A3) Probationary Approval; or, (B) Not Approved. The first three categories are intended to communicate different levels of approval with different consequences attached to the recommendation. Only instruments placed in one of the three "A" categories will be available for use by all California Community Colleges (second-party tests) or by a specific college (locally managed or developed tests).

The length of time an instrument will be available for use by the colleges without submission of additional information varies by specific approval category. However, an instrument may only maintain standing in Provisional Approval (A2) and a Probationary Approval (A3) for a period of time not to exceed three (3) years. That is, an instrument will not be permitted to remain approved for use without attaining Full Approval (A1) within three years. Further, once any approval status is attained for an instrument, that instrument will be treated as "approved" for a period not to exceed six (6) years. After this six-year maximum tenure interval, unless new supporting materials or documentation have been submitted and favorably reviewed for continued use in the California Community Colleges (i.e., upon renewal re-evaluation the instrument attains one of the three "approval" ratings), the instrument will revert automatically to the "Not Approved" status (B). During the period of submission toward Full Approval, new evidence to support the appropriateness and suitability of an instrument may be submitted at any time to the Chancellor's office for review and consideration; however, materials submission is expected to provide sufficient information to allow for review and consideration into at least the next highest approval classification. Instruments nearing completion of six years of "approval" status are encouraged to re-submit information and documentation during the fifth year so that continued use can be maintained by colleges (that is, initiating the Renewal process). The prior section presents information and the needed documentation required of colleges and publishers desiring to renew the approval status of an instrument.

The intended implications for the use of an instrument when placed in a specific evaluative category for initial submission or renewal are as follows.

A1 Full Approval - Instruments in this category meet the **Standards'** criteria.

The available evidence indicates these instruments have potential value when used to serve a specific assessment function in California Community Colleges. These instruments have high probability of yielding test scores useful in assisting decision making for a particular community college student.

A2 Provisional Approval - Instruments in this category meet relevant standards and criteria, but lack sufficient or recent information to assign the unequivocal "Full Approval" rating. Some criteria were not met because (a) documentation was lacking that in all likelihood should be provided in a relatively short time period or (b) criteria were recently introduced and the user/developer should be allowed time to meet them. In this conditional category, the expectancy is that the test, in time, will achieve a "Full Approval" recommendation. As such, the necessary clarifying information to receive a "Full Approval" evaluation on instruments for this "Provisional" category is expected to be provided in due course. Recommendation in this category means that the test developer or user must supply within one academic year the specified additional clarifying information. Failure to submit the required clarification(s) within one year will result in reclassification into the "Probationary" category.

A3 Probationary Approval - Instruments in this category are missing critical information and thus a clear-cut recommendation cannot be established; or from the information that is available, deficiencies are noted. The intended purpose for use of these instruments is clearly stated and some positive information supporting its use is available, but the necessary evidence available for a final judgment is incomplete. For tests once classified as "Probationary," additional data collection must be provided for further evaluation. Such instruments can only be maintained in the "Probationary Approval" designation for a maximum of two academic years.

B Not Approved - Instruments in this category are those for which the evidence indicates that they have failed to meet one or more of the standards or criteria considered essential by the reviewing bodies or have failed to meet a condition of AB 3 or Title 5. What is considered an essential element is likely to vary among applications (that is, tests can fail to be approved for differing reasons), but the specific deficiency will be identified in the report of the MAC Assessment Work Group to the Chancellor.

Validation and documentation of instrument quality is considered an ongoing process and thus publishers and colleges are expected to engage in continuous evaluation and monitoring of their instruments. In this spirit, periodic reviews by the Chancellor's office of instruments previously approved at the request of managers or users of instruments is both acceptable and encouraged in anticipation of the need to maintain a continuous approval status for a device.

Step 6. Disseminate Chancellor's Decision.

The Chancellor will make a decision concerning the use of each measure reviewed. Tests that are not on the Chancellor's List of approved tests must not be used in the placement process in the California Community Colleges system. Approval/disapproval decisions will be communicated formally to both the community colleges and the specific test publishers involved.

Step 7. Allow for an Appeals Process.

A decision by the Chancellor may be appealed (i.e., subject to formal reconsideration) by any individual, college, district, agency or entity. Requests for an appeal are to be submitted to the Chancellor within 30 days of the Chancellor's decision. The request must clearly explain why the decision is being questioned. The Chancellor's prerogative is to determine the next course of action, although one might expect that an Appeals Committee will be called upon to reconsider the standing recommendation. Appeals are to be acted upon, and a recommendation forthcoming from the Chancellor, within six months of the Appeal request.

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GLOSSARY

- Consequential-related validity** evidence addressing desired or undesired outcomes that follow from the use of test scores to advise placement of students into courses.
- Content-related validity** evidence addressing the extent to which course pre-requisite knowledges and skills are being measured by the items on a test for all courses into which the test scores are being used to place students
- Corrected validity coefficients** psychometric procedures that estimate the relationship between two sets of scores if the test scores were measured with perfect reliability (corrected for attenuation) or full variability (corrected for restriction of range).
- Correlation coefficient** a statistical index that summarizes the magnitude of the relationship between two sets of scores for the same group of individuals. This index takes on values ranging from -1.00 to 1.00 with values around zero ($.00$) representing no relationship.
- Criterion-related validity** evidence addressing the extent to which scores on the placement test are related to scores on an appropriate criterion measure of student ability to meet different course requirements into which the students are being placed or an appropriate measure of student success in different courses.
- Critical mass** the accumulation of evidence across a diverse set of colleges which can be used to gain approval for the use of a test instrument by all colleges in the system.
- Differential prediction** evidence addressing the extent to which scores on a placement test are equally predictive of an outcome measure for all subgroup classifications, e. g., gender, ethnicity, age, etc.
- Direct performance assessments** that require an open-ended response from the test taker to a task, set of tasks or set of defined stimulus conditions. Responses then are scored using a standardized scoring rubric that has defined scale values indicating the adequacy of performance at different levels of proficiency.
- Empirical approach to setting cut-scores** procedures to identify cut-score values based on differential test taker test performance under certain design conditions.

Internal consistency a method of estimating test score reliability based on the consistency or relationship of responses to test items across test takers for a single administration of the test. Examples of methods or indices include Kuder-Richardson formula 20 or 21, coefficient alpha and split-half procedures.

Interscorer reliability coefficient an index of reliability indicating the consistency of ratings assigned to test taker responses (usually from performance assessment data) by two or more raters.

Judgmental approach to setting cut-scores procedures to identify cut-score values based on expert panel review, evaluation and judgments about the appropriateness and difficulty of test and test item content, and expected performance for identified populations of test takers.

Norms reported score distributional characteristics for samples of test takers that are intended to represent a population of test takers with described characteristics such that the performance of the norm group can offer relative interpretation of a person's test score with reference to the performance of test takers in the norm group.

Reliability evidence addressing the degree of consistency of measurements when the procedures producing test scores are repeated on a population of individuals or groups.

Stability coefficient an estimate of the reliability of test scores using a procedure requiring that data be collected from the same group of individuals on two separate occasions with an intervening period of at least two weeks between administrations.

Standard error of measurement an index related to the reliability of test scores which provides information addressing the degree of inaccuracy for specific test score values.

Transformed scale scores scores that are reported on a scale other than that produced by raw scores, e.g., percentile ranks or scores reported on a scale with a different mean and standard deviation than those of the raw scores.

Validity evidence addressing the extent to which the interpretation of scores from a test is meaningful, appropriate and useful to serve the purpose of placement of students into different courses.

ASSESSMENT Q&A

Questions and Answers on Assessment for use in the California Community Colleges

March 2005

Published by the California Community College Assessment Association
with the assistance and contributions of the Chancellor's Office
for California Community Colleges.

ASSESSMENT Q&A

For use in the California Community Colleges

March 2005

This question and answer document is designed to help colleges in the implementation and refinement of their assessment program as it pertains to matriculation. It does not profess to be the only source of assessment information to which colleges may avail themselves nor does it attempt to address issues related to non-matriculation areas such as Ability to Benefit. What it does provide, however, is the input of assessment directors, Chancellor's Office Matriculation staff, and legal advisors that will hopefully assist colleges in ensuring they incorporate sound assessment practices in their matriculation programs. It should also be noted that while this document approaches the discussion of assessment in general terms, there are included some very technical responses to very technical questions concerning assessment. Further, the Q&A does not establish new policy or recommend changes to existing policy, regulation, or statute.

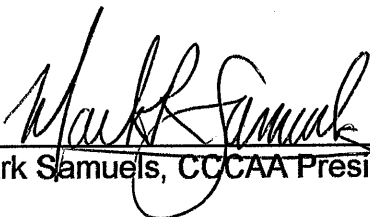
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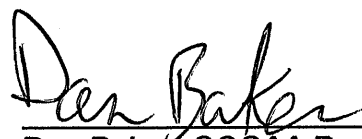
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Should you have any questions or comments regarding this document or any of the material contained within, please contact us.

We hope this document proves useful.



Mark Samuels, CCCAA President-Elect



Dan Baker, CCCAA President

ASSESSMENT Q&A

CONTENTS

	Page
I. General Assessment Issues	1
1. What is assessment?.....	1
2. Isn't assessment the same as testing?.....	1
3. Can a college assess students without having them take a test?.....	1
4. Why can't I just administer a test and then place students?.....	1
5. Can we mandate assessment?.....	2
6. Is assessment required at the bottom levels of basic skills course sequences?	2
7. Can we establish an academic floor for our English and math curricula?.....	2
8. What does a validated score or validated test mean?.....	2
9. What are multiple measures?.....	3
10. What constitutes an acceptable multiple measure?.....	3
11. Can two validated tests be used as multiple measures?.....	4
12. Can a counseling interview be used as a multiple measure?.....	4
13. Do we have to validate the multiple measures?.....	4
14. How do we determine which multiple measures to use?.....	4
15. Do multiple measures have to be incorporated for all placement decisions?.....	4
16. When do the multiple measures have to be applied?.....	5
17. How does our college select a test to administer?.....	5
18. What constitutes disproportionate impact?.....	5
19. Can I accept a test score from another college?.....	6
20. If a student took our test and multiple measures a year ago and has yet to enroll in a math or English course, how long are placement results for that student considered valid?.....	6
21. Can colleges charge students a fee for assessment?.....	6
22. Should we check students' identification at the time of testing?.....	7
23. Can faculty have access to students' assessment results?.....	7
24. Is there a difference between a "placement" test and a "challenge" test?.....	7

	Page
II. Title 5 Regulations & Assessment Standards	8
25. What tests can I use? Why do I have to use tests only approved by the Chancellor's Office?.....	8
26. How do I know which tests are approved by the Chancellor's Office?.....	8
27. How are tests placed on the Chancellor's approved list and who reviews and approves or disapproves the instruments?	8
28. What is the Assessment Work Group?	9
29. Can we use test instruments not on the Chancellor's approved list to place students?	9
30. Can we use a test instrument for placement purposes if it is not fully approved?.....	9
31. Why can't the Chancellor's Office just tell us what test to use?.....	10
32. Can a district use a "second-party" instrument for which the college has not yet empirically validated cut scores?.....	10
33. What does my college do if we want to develop our own instrument?.....	10
34. What does our college do if one of the tests we use is not on the approved list?.....	10
35. What does our college do if one of our tests is not approved by the Chancellor's Office?.....	11
36. How long can an assessment instrument be maintained in the provisional or probationary approval categories?.....	11
37. How long do assessment instruments retain their full approval status?.....	11
38. What responsibility do we have when my college decides to use a "second-party" instrument that has been approved for placement purposes?	12
39. When do colleges have to repeat these responsibilities for second-party tests?	12
40. When validating a test instrument, should we be concerned about the variability of our faculty's grading practices?.....	12
41. Must graduation competency assessments be validated?.....	13
42. Can a placement test also be used to assess competency?.....	13
43. Is there a correct way to list test results as a prerequisite in the catalog and class schedule?.....	13
44. Can a college require certain students to take the ESL assessment?.....	14
45. Can a student be placed into the English curriculum on the basis of an ESL language test?.....	14
46. Can a student be placed into the ESL curriculum on the basis of an English language test?.....	14
47. Can a student be referred to the college's ESL assessment on the basis of an English language test?.....	15

	Page
48. What multiple measures are useful in placing students into ESL courses?.....	15
49. Can colleges use a writing sample to place students into English and ESL courses? Can colleges use an oral interview as an assessment tool?.....	16
50. Can colleges use a reading assessment to place students into courses throughout the curriculum?.....	16
51. Our nursing department wants to use a national nursing examination in order to enroll students into the nursing department. Is this acceptable?.....	16
52. What are the different kinds of validity studies that colleges are required to conduct?.....	17
53. My college has had our assessment instruments in place now for a couple of years. Why should we conduct a consequential-related validity study instead of a criterion-related validity study?.....	17
54. Why should we ask students if they are appropriately placed when they don't even know what skills they have?.....	18
55. Can my college establish a test instrument's validity by correlating placement test results with results from a uniform final exam?	19
56. How can some of the test instruments on the approved list that have been around so long still be considered valid and useful?.....	19
57. What is the difference between computer-administered testing and computer- adaptive testing? Do different standards apply to them?.....	20
58. What is critical mass?.....	20
59. What is renewal?.....	21
60. At time of renewal, what does a college have to do to keep a test on the approved list?.....	22
61. When should renewal evidence be submitted?.....	22
62. Can a test up for renewal earn any level of approval, or is the test simply approved or not approved?.....	23
63. Are the colleges required to use approved assessment instruments for the placement of students into the noncredit curricula?.....	23

III. Resources on Assessment Available to Colleges..... 24

Assessment Guidelines.....	24
Research Designs.....	24
Contacts – Organizations and Staff.....	25
Other Resources.....	25

ASSESSMENT Q&A

I. General Assessment Issues

1. WHAT IS ASSESSMENT?

Assessment is one of the major components of the community college process known as *matriculation*, which was created in 1987 by the California legislative mandate Assembly Bill (AB) 3. Assessment is a holistic process through which each college collects information about students in an effort to facilitate their success by ensuring their appropriate placement into the curriculum. Examples of this information include the students' English and math skills, study skills, learning skills, aptitudes, goals, educational background/performance, and the need for special services. Also taken into consideration during the assessment and placement process are the students' work experience, family obligations, motivation factors, and any other considerations that may affect their opportunities for success when making their course choices.

2. ISN'T ASSESSMENT THE SAME AS TESTING?

Testing is but one means of collecting a portion of this information. According to *Section 55502(c) of the Title 5 Regulations*, assessment instruments, methods and procedures "include, but are not limited to, interviews, standardized tests, holistic scoring processes, attitude surveys, vocational or career aptitude and interest inventories, high school or college transcripts, specialized certificates or licenses, educational histories and other measures of performance."

3. CAN A COLLEGE ASSESS STUDENTS WITHOUT HAVING THEM TAKE A TEST?

Yes, as stated in the previous response, a college may utilize interviews, surveys, educational history, and the like to assess students. A number of colleges have chosen to assess and place students without employing traditional standardized tests. Some colleges utilize an "informed decision assessment" in which students select their course placement based on a knowledge of course content and goals as well as a self-assessment of their individual skill levels. While Title 5 does not currently require validation of the informed decision assessment model, colleges are encouraged to closely document all procedures used for course placement.

4. WHY CAN'T I JUST ADMINISTER A TEST AND THEN PLACE STUDENTS?

Course placement on the basis of a test score by itself is prohibited [*Title 5, Section 55521(a)(3)*]. A test score alone is not as informative and useful for placement purposes as when applying it with another measure.

5. CAN WE MANDATE ASSESSMENT?

Yes, a holistic assessment process is required for all non-exempt students except where districts have established additional exemption criteria [*Title 5, Sections 55520(c) and 55532(a)*]. Utilizing assessment as described by AB 3 and the *Title 5 Regulations*, and employing the assessment standards published by the Chancellor's Office help to preclude the occurrence of discriminatory practices as the result of invalid measures or inconsistent applications of assessment practices.

6. IS ASSESSMENT REQUIRED AT THE BOTTOM LEVELS OF BASIC SKILLS COURSE SEQUENCES?

While assessment is required for all non-exempt students, it is up to the discretion of the individual community college district as to how the assessment process is implemented in establishing placement into the lowest English and math course levels. Districts may allow students into these levels based solely on students' self-appraisal of their skill levels.

7. CAN WE ESTABLISH AN ACADEMIC FLOOR FOR OUR ENGLISH AND MATH CURRICULA?

Two concerns are raised in this question. First, assessment results cannot be used to determine admission into a California public community college. Admission and assessment are two distinct functions, and the decision to admit a student into a community college cannot be influenced by the assessment of the student's skills or preparation. Second, once a student has been admitted, assessment results may show a need for the strengthening of the student's basic skills. In that case, the district is required to provide reasonable numbers of courses in precollegiate basic skills in reading, written expression, and mathematics for students whose objective is to become fully prepared to enroll in courses for which those skills are prerequisites [*Title 5, Section 55202(d)*]. This means that even though a prerequisite system may be in place, when a student is in need of precollegiate basic skills, entry-level courses without prerequisites must be available. This second point is a placement issue and requires a holistic assessment that includes the use of multiple measures.

8. WHAT DOES A VALIDATED SCORE OR VALIDATED TEST MEAN?

In psychometric terms, a valid test is defined as a test instrument that measures what it is intended to measure. Through the validation process, the college/district assures that it is employing scores and tests that are appropriate and fair for all students based on the standards developed for community college placement instruments. The standards apply to instruments developed and maintained by a party external to the California community colleges (second-party tests), objectively-scored tests developed or managed by a California community college or district, and for writing samples and other performance-based assessments. These standards vary slightly depending on the type of testing instrument [*Standards, Policies and Procedures for the Evaluation of Assessment Instruments Used in the California Community Colleges (4th edition)*, hereafter referred to as the *March 2001 Standards Document*].

9. WHAT ARE MULTIPLE MEASURES?

Multiple measures are a diverse battery of procedures and methods for gaining information about individuals or groups of students. These procedures may or may not include standardized testing. While a carefully selected, valid, reliable and unbiased test instrument certainly provides important information regarding basic skills needs, the objectives of matriculation legislation (Assembly Bill 3, Seymour-Campbell) and the clarifying regulations of Title 5 endeavor to effect a more complete description of the student than does testing alone. Indeed, AB 3 and Title 5 require the use of multiple pieces of information for placement purposes, with the latter providing the definitive need for multiple measures:

“In implementing matriculation services, community college districts shall not...use any single instrument, method, or procedure, by itself, for placement, required referral to appropriate services, or subsequent evaluation of any student...” [Title 5, Section 55521(a)(3)]

Thus, matriculation assessment should provide a holistic profile of student strengths and weaknesses based on a variety of informational sources (*multiple measures*).

10. WHAT CONSTITUTES AN ACCEPTABLE MULTIPLE MEASURE?

Examples of multiple measures are listed in the regulations [Title 5, Section 55502(c)]. Typical multiple measures employed by colleges include:

- Standardized placement tests (assessment instruments) – *require validation and Chancellor’s Office approval*
- Writing samples – *require validation and Chancellor’s Office approval*
- Performance-based assessments (listening comprehension tests, structured oral interviews, etc.) – *require validation and Chancellor’s Office approval*
- Surveys, questionnaires
- Past educational experience (e.g., courses or degrees completed, high school or college grade point average, recency of completion of subject area courses)
- College plans (e.g., units intending to carry, number of hours intending to work while going to college, intended major)
- Student motivation
- Student self-assessment or self-evaluation

While determining which multiple measures to employ, colleges should take care to avoid any prohibited practices listed in the regulations [Title 5, Section 55521] as well as such politically sensitive variables as student ethnicity.

A guide to choosing and implementing multiple measures can be found at the following web site address:

<http://www.cccco.edu/divisions/ss/matriculation/matriculation.htm>

11. CAN TWO VALIDATED TESTS BE USED AS MULTIPLE MEASURES?

Yes, but only in the instance that the two tests are not highly correlated [*Title 5, Section 55521(a)(3)*]. Typically, a test in reading and one in writing will be highly correlated. However, a writing sample and a listening comprehension test may not be highly correlated to each other. A correlation of .75 and above would constitute measures being highly correlated.

12. CAN A COUNSELING INTERVIEW BE USED AS A MULTIPLE MEASURE?

Yes, the interview itself is considered to be a multiple measure because it serves as a potential source of information about students that could prove useful in the course selection/advisement process. However, it is critical that the information a counselor elicits during the interview be consistently applied to all students. It is therefore advisable that each college define the criteria for, at least, the minimal type of questions that are asked of all counselees to identify the types of information that can be used in the course advisement process.

13. DO WE HAVE TO VALIDATE THE MULTIPLE MEASURES?

No, with the exception of test instruments. However, although colleges are not required to validate companion measures to the test(s), sound educational and assessment practices dictate that such validation is advisable. Further, *Title 5, Section 55514(e)* requires a justification of how these multiple measures are incorporated into placement decisions.

14. HOW DO WE DETERMINE WHICH MULTIPLE MEASURES TO USE?

The application of multiple measures is based on the premise that the more information that is available to inform the placement process, the better. In that light, the pieces of information that are used to holistically assess the student should contribute to the quality of the placement, and not serve merely to satisfy the regulatory mandate that students be placed with more than a single test score.

The choice of which measures to use should be decided jointly by counselors, advisors, pertinent discipline faculty, assessment directors and assessment staff, Matriculation coordinators, and research staff. Faculty should be able to describe the attributes that a student would need to be successful in the department's courses at each level. Then the process becomes one of "what can we find out about the student that will elicit this information?" The process to arrive at the selection of these measures, or sources of information, should be documented and available to the Matriculation site review team at the college's next site evaluation.

15. DO MULTIPLE MEASURES HAVE TO BE INCORPORATED FOR ALL PLACEMENT DECISIONS?

Yes, to prevent discriminatory practices and arbitrary applications of placement information [*Title 5, Section 55521(a)(3)*].

16. WHEN DO THE MULTIPLE MEASURES HAVE TO BE APPLIED?

By definition, multiple measures are designed to be applied in conjunction with each other prior to the student being enrolled in a course. This is true whether the assessment process serves to satisfy a prerequisite or to satisfy an advisory/recommended preparation [*Title 5, Section 55521(a)(3)*].

17. HOW DOES OUR COLLEGE SELECT A TEST TO ADMINISTER?

Colleges should refer to the process outlined by the *March 2001 Standards Document*. The selection of test instruments at each college should involve input from instructional faculty since they are closest to knowing what their courses demand (e.g., the knowledge and skills necessary for success in each course, the academic rigor with which the courses are taught, and the student population in those courses). Meetings with departments, matriculation committees, and/or curriculum committees may prove beneficial especially in the early stages of the test and multiple measure identification processes. Among the questions that should be asked in the test identification/selection process are the following:

- What is the purpose of the assessment?
- What are you trying to measure?
- Who is the population you wish to assess?
- What are the enrollment implications?
- What other measure(s) can be used along with the test to provide a more accurate placement?
- Is the college prepared to monitor disproportionate impact?

18. WHAT CONSTITUTES DISPROPORTIONATE IMPACT?

According to Section 55502(e) of the Title 5 Regulations, “disproportionate impact occurs when the percentage of persons from a particular racial, ethnic, gender, age or disability group who are directed to a particular service or placement based on an assessment instrument, method or procedure is significantly different than the representation of that group in the population of persons being assessed and that discrepancy is not justified by empirical evidence demonstrating that the assessment instrument, method or procedure is a valid and reliable predictor of performance in the relevant educational setting.”

The regulations require documentation and evidence addressing disproportionate impact. *Section 55512(a) of the Title 5 Regulations* requires that districts evaluate all assessment instruments, methods or procedures “to ensure that they minimize or eliminate cultural or linguistic bias and are being used in a valid manner. Based on this evaluation, districts shall determine whether any assessment instrument, method or procedure has a disproportionate impact on particular groups of students described in terms of ethnicity, gender, age or disability, as defined by the Chancellor. When there is a disproportionate impact on any such group of students, the district shall, in consultation with the Chancellor, develop and implement a plan setting forth the steps the district will take to correct the disproportionate impact.”

19. CAN I ACCEPT A TEST SCORE FROM ANOTHER COLLEGE?

Accepting assessment results or course placements based on an assessment administered at another community college is an institutional decision. Remember that assessment instruments and multiple measures should be selected on an institutional basis as indicated by the appropriateness and validity of the assessment(s) for that college's curriculum. There are no standards to direct colleges as to what results to accept or not, except that the regulations suggest colleges avoid retesting students who *recently* took another college's "tests that correlate with those used by the district." Additionally, test scores used from other colleges or districts must be from test instruments that are on the Chancellor's Office's list of approved instruments [*Title 5, Sections 55521(a)(1) and 55530(c)*].

It is also recommended that affected instructional faculty be involved in the decision process. Some colleges follow a conservative approach, accepting only scores from other colleges that employ the same tests that are used at that institution, and then applying the multiple measures that the home institution has implemented. Before your college accepts course placements from another college, you should ensure that the other college uses Chancellor's Office-approved test instruments as well as multiple measures that are valid for your college. If your college has completed a validation study that demonstrates that one or more of the measures are not valid for your curriculum, then you should not accept the other institution's assessment results.

20. IF A STUDENT TOOK OUR TEST AND MULTIPLE MEASURES A YEAR AGO AND HAS YET TO ENROLL IN A MATH OR ENGLISH COURSE, HOW LONG ARE PLACEMENT RESULTS FOR THAT STUDENT CONSIDERED VALID?

Based largely on a concern that skill levels change over time, most colleges put a limit on how long assessment results are considered valid for placement. Most commonly, colleges consider results valid for one, two, or three years. The decision to implement an expiration date for assessment results is an institutional one. Colleges may want to consult the appropriate test publisher manual(s) for advice.

21. CAN COLLEGES CHARGE STUDENTS A FEE FOR ASSESSMENT?

No, a district may only establish mandatory student fees if expressly authorized to do so by law. Under current law, it is well established that a student may only be required to pay a fee if a *statute requires it* (such as the enrollment fee) or if a *statute specifically authorizes a district to require it* (such as the health fee) [CCC Chancellor's Office Legal Opinion M 02-31 issued December 31, 2002].

22. SHOULD WE CHECK STUDENTS' IDENTIFICATION AT THE TIME OF TESTING?

This decision is an institutional one. Some colleges concerned about the integrity of assessment results do require students' identification to be checked as part of the test administration process. Other colleges do not require students to provide identification, believing that students have the right to fail and if they have someone else take the test(s) for them, they will only be hurting themselves when they get into a course in which they likely will not be successful. However, it should be noted that students who are unable to handle the skill-level of a course can negatively affect other students in the class and the instructor (the bog-down effect). Also, misplacement of students will eventually weaken the validity of the placement process.

23. CAN FACULTY HAVE ACCESS TO STUDENTS' ASSESSMENT RESULTS?

The Chancellor's Office has stated that confidentiality regulations allow for sharing of assessment results only with those in the institution who have "a need to know." As stated in the *Good Practice for the Implementation of Prerequisites* published in Spring 1997 by the statewide Academic Senate:

Students have a right to privacy of their records except in cases in which the college employee needs to know the information for valid educational reasons. Instructors do not need to know students assessment or placement results in order to teach them....Knowledge of assessment and placement information could open instructors to charges of discrimination if they treated some students differently than others.

24. IS THERE A DIFFERENCE BETWEEN A "PLACEMENT" TEST AND A "CHALLENGE" TEST?

Yes. A placement test is used to help determine the initial level of academic rigor for which a student is prepared to enter the college's curriculum. In addition to the test score, appropriate multiple measures are applied to ensure that the holistic "portrait" of the student has been drawn to the degree where the chances of the student's success in the course(s) are optimized.

A challenge is a process that is initiated by a student who has been denied enrollment in a course based upon the college's determination that the student did not meet the established prerequisite for the course. The initial burden of proof that there are grounds for challenging the prerequisite is the student's [Title 5, Section 55201(f)], and it is not incumbent upon the college to provide the means for the student to present his/her proof that the prerequisite has been met. Some colleges have chosen to have ready a challenge test, but in the event that a test is used, it must be one that has been approved by the Chancellor's Office and is used with companion measures [Title 5, Section 55202(c)]. Some examples by which a student may demonstrate he/she has met the prerequisite include prior course completion, work experience, and a portfolio (collection of completed projects, art works, etc.).

II. Title 5 Regulations & Assessment Standards

25. WHAT TESTS CAN I USE? WHY DO I HAVE TO USE TESTS ONLY APPROVED BY THE CHANCELLOR'S OFFICE?

Prior to the implementation of the *Title 5 Regulations* pertaining to matriculation practices and processes, there were a wide variety of assessment practices employed by colleges. The regulations were intended to eliminate those practices that involved discrimination and inappropriate and invalid use of assessment instruments. These regulations help to ensure that colleges employ sound assessment and educational practices and that colleges are using only those instruments that are valid and minimize bias [*Title 5, Sections 55521(a)(1) and 55524*].

Section 55524 of the *Title 5 Regulations* requires the Chancellor's Office to establish a list of instruments approved for use in the California Community Colleges. The regulations further require that this list be updated no less frequently than on an annual basis. Currently, the list is updated twice each year, in January/February and June/July.

Section 55524 also requires the Chancellor's Office to establish a set of guidelines that colleges/districts and publishers must follow when seeking to attain approval of assessment instruments. These guidelines are known as the *Standards, Policies and Procedures for the Evaluation of Assessment Instruments Used in the California Community Colleges* (4th edition) – which, again, is referred to in this document as the *March 2001 Standards Document*.

26. HOW DO I KNOW WHICH TESTS ARE APPROVED BY THE CHANCELLOR'S OFFICE?

The list of approved instruments is published on the Chancellor's Office's website (www.cccco.edu) under the Matriculation web page. The list is updated at the end of each test review period, January/February and June/July of each year.

27. HOW ARE TESTS PLACED ON THE CHANCELLOR'S APPROVED LIST AND WHO REVIEWS AND APPROVES OR DISAPPROVES THE INSTRUMENTS?

A community college/district or a test publisher external to the California Community Colleges must first request a review of a test instrument. The instrument then undergoes several levels of rigorous examination. Section Seven of the *March 2001 Standards Document* discusses the process by which all assessments used for course placement in the community colleges are reviewed. Criteria required for the assessment instruments to gain approval are discussed throughout the standards document. Please note that there are three different levels (or categories) of approval, each with distinct consequences attached to the recommendation. The three categories are Full Approval, Provisional Approval, and Probationary Approval. To gain any category of approval, at a minimum, an instrument must have an acceptable level of evidence of validity and that cultural/linguistic bias, insensitivity, and offensiveness have been minimized. To meet this initial validity requirement, second-party publishers submitting assessment instruments for approval must provide acceptable criterion-related or consequential-related validity evidence;

colleges with a locally developed or managed instrument must provide acceptable content-related validity evidence. Full approval is not guaranteed until all criteria specified in the *March 2001 Standards Document* have been satisfied. [See *March 2001 Standards Document, Section Seven. The Process for Reviewing Assessments in the California Community College System* for a description of the intended implications for each category of approval.]

The Chancellor of the California Community Colleges approves or disapproves all assessment instruments for use in districts/colleges. The Chancellor's decision is based on the recommendations of the Matriculation Assessment Work Group. In turn, the Assessment Work Group relies upon the information and advice provided by psychometric consultants charged with evaluating all submitted instruments.

28. WHAT IS THE ASSESSMENT WORK GROUP?

The Assessment Work Group is a subcommittee of the statewide Matriculation Advisory Committee (MAC) consisting of community college staff representing the diverse groups responsible for the use of assessment within the colleges:

- administrators (Chief Executive Officer, Chief Instructional Officer, Chief Students Services Officer)
- assessment coordinators
- faculty
- matriculation coordinators
- researchers

The MAC Assessment Work Group advises the MAC and Chancellor's staff regarding assessment standards and the evaluation of assessment measures. For each assessment instrument submitted for consideration, the Work Group reviews the instrument as it applies to decisions made at community colleges, and issues a recommendation for one of the three categories of approval or for "Not Approved," or it may request additional data from the test developer. The psychometric experts provide the Work Group's recommendation in their feedback to the district/college or test publisher.

29. CAN WE USE TEST INSTRUMENTS NOT ON THE CHANCELLOR'S APPROVED LIST TO PLACE STUDENTS?

No. Under no circumstances may test instruments that are not on the approved list be used for placement purposes in the community colleges. However, a college may administer these instruments for research purposes to collect sufficient data to help secure future approval for the test, but while doing so, the college may not provide scores to students, instructors, counselors, or advisors.

30. CAN WE USE A TEST INSTRUMENT FOR PLACEMENT PURPOSES IF IT IS NOT FULLY APPROVED?

Yes. A college may use a test instrument if it has attained any approval status: Full Approval, Provisional Approval, or Probationary Approval.

31. WHY CAN'T THE CHANCELLOR'S OFFICE JUST TELL US WHAT TEST TO USE?

Each college has a singularly distinct student population and curriculum and therefore needs the freedom and flexibility to assume the role of selecting its assessment instruments accordingly.

32. CAN A DISTRICT USE A "SECOND-PARTY" INSTRUMENT FOR WHICH THE COLLEGE HAS NOT YET EMPIRICALLY VALIDATED CUT SCORES?

Yes. Initial cut scores may be set using an empirical approach or a judgmental approach. The judgmental approach typically focuses on the initial setting of cut scores, but should a college elect to provide only judgmental data, then a formal procedure detailing the qualifications of those involved in the process and the bases for the points upon which the cut scores were set must be followed [*March 2001 Standards Document, Section Three, I B. Specific Criteria for Objectively Scored Measures Developed and Maintained by a Second Party External to the California Community Colleges—Primary Responsibility of the Local College or District; and Section Three, III B. Specific Criteria for Direct Performance Assessments—Primary Responsibilities of the Local College or District for a Second-Party Developed Direct Performance Assessment*].

33. WHAT DOES MY COLLEGE DO IF WE WANT TO DEVELOP OUR OWN INSTRUMENT?

The college should follow appropriate psychometric procedures for test development and then adhere to the processes delineated in the *March 2001 Standards Document* [*Section Three, II. Specific Criteria for Objectively Scored Tests Developed or Managed by a California Community College or District; and Section Three, III C. Specific Criteria for Direct Performance Assessments—Primary Responsibilities of the Local College or District Developed or Managed Direct Performance Assessment*].

34. WHAT DOES OUR COLLEGE DO IF ONE OF THE TESTS WE USE IS NOT ON THE APPROVED LIST?

A college cannot use the assessment instrument for placement purposes, even on an advisory basis, until it has gained any approval status. A college can use the instrument to collect the data as a means to obtain that approval [*Title 5, Section 55521(a)(1)*]. Your college can take the steps necessary to locally manage the test [*March 2001 Standards Document, Section Three, II. Specific Criteria For Objectively Scored Tests Developed or Managed by a California Community College or District; and Section Three, III C. Specific Criteria for Direct Performance Assessments—Primary Responsibilities of the Local College or District Developed or Managed Direct Performance Assessment*].

35. WHAT DOES OUR COLLEGE DO IF ONE OF OUR TESTS IS NOT APPROVED BY THE CHANCELLOR'S OFFICE?

You will be provided detailed feedback from the psychometric consultants who, along with the Assessment Work Group, have evaluated your test instrument. This feedback will specify the steps that are necessary for the test to gain an approval status. There is also an appeals process by which a college/district may request a reconsideration of the Chancellor's decision. The college's request must be submitted within 30 days of being notified that approval has not been granted. Despite requesting that the decision be reconsidered, however, the college is not permitted to use the test instrument for placement purposes during the interim period. If the college does not seek an appeal or the appeal is denied, then the college may wish to collect data as suggested by the psychometric consultants, to consider other instruments on the Chancellor's list of approved assessments, or to attempt to develop and manage another assessment [*March 2001 Standards Document, Section Three, II. Specific Criteria For Objectively Scored Tests Developed or Managed by a California Community College or District; and Section Three, III C. Specific Criteria for Direct Performance Assessments—Primary Responsibilities of the Local College or District Developed or Managed Direct Performance Assessment*].

36. HOW LONG CAN AN ASSESSMENT INSTRUMENT BE MAINTAINED IN THE PROVISIONAL OR PROBATIONARY APPROVAL CATEGORIES?

An instrument may remain approved for use by colleges without attaining "Full Approval" Status for a period not to exceed three (3) years. At the end of the three-year period, failure by the test developer to provide information sufficient to bring the instrument up to full approval will result in a "Not Approved" classification, meaning the instrument may no longer be used by colleges for placement purposes. However, colleges can continue to use the instrument to collect data for research purposes to try to move the assessment to the approved list, but while doing so, the colleges may not provide scores to students, instructors, counselors, or advisors.

37. HOW LONG DO ASSESSMENT INSTRUMENTS RETAIN THEIR FULL APPROVAL STATUS?

For all assessment instruments – whether they are second-party instruments or those locally developed and managed by community colleges – approval is granted for a period of not more than six (6) years from the date *any* approval status is attained. To ensure assessment measures are maintained on the approved list beyond the six-year term, publishers and managers of instruments should submit documents necessary for reconsideration during the fifth year of the six-year "Approved" period, thereby allowing ample time for review and evaluation. If the Assessment Work Group determines the documents submitted for reconsideration satisfactorily meet the criteria spelled out in the *March 2001 Standards Document*, the test will be granted "renewal" approval. If, however, after the six-year period, no new supporting documents "have been submitted and favorably reviewed for continued use in the California community colleges, the instrument will revert automatically to the 'Not Approved' status" [*March 2001 Standards Document, Sections Six and Seven*].

38. WHAT RESPONSIBILITY DO WE HAVE WHEN MY COLLEGE DECIDES TO USE A “SECOND-PARTY” INSTRUMENT THAT HAS BEEN APPROVED FOR PLACEMENT PURPOSES?

When adopting instruments that have been developed by publishers external to the California community colleges and that have received any approval status, colleges have a limited yet comprehensive set of responsibilities as detailed in the *March 2001 Standards Document*. These responsibilities include:

- Prepare evidence of content-related validity
- Review the criterion-related or consequential-related validity evidence provided by the test publisher
- Review the test bias evidence provided by the test publisher
- Review the evidence of reliability provided by the test publisher
- Establish (and, at a later time, validate) cut scores using either a judgmental or empirical approach
- Develop a system to monitor disproportionate impact

39. WHEN DO COLLEGES HAVE TO REPEAT THESE RESPONSIBILITIES FOR SECOND-PARTY TESTS?

Test validation is an ongoing process. While the *March 2001 Standards Document* calls for documentation of validation both by test publishers and test users to be completed every six years, sound educational and psychometric practices oblige colleges to conduct ongoing evaluation and monitoring of their test instruments and placement schemes.

40. WHEN VALIDATING A TEST INSTRUMENT, SHOULD WE BE CONCERNED ABOUT THE VARIABILITY OF OUR FACULTY’S GRADING PRACTICES?

Colleges differ on their assessment/test validation strategies. Some colleges elect to validate the assessments based on final grades while other colleges use earlier criteria such as a mid-term grade or student and faculty appraisals of the appropriateness of student placements. While all of these methods are acceptable, the use of the student and faculty surveys about four to eight weeks into the semester is actually the preferred methodology. These surveys comprise what is known as consequential-related validity and serve as better appraisals of the assessment’s efficacy as a placement tool. In other words, the use of student and faculty surveys better measures the assessment for its actual purpose – a placement tool. Grades are used to measure if the assessment process is a good predictor of success in the class. While this methodology is not preferred, it is acceptable. However, colleges that employ validation studies based on grades should recognize that their ability to predict student success – and hence the predictability of the placement system implemented – may be impacted by faculty grading variances. However, the faculty involved should address questions over the validity of grades.

41. MUST GRADUATION COMPETENCY ASSESSMENTS BE VALIDATED?

Sections 55502(b) and (c) of the Title 5 Regulations are comprehensive in their scope in defining assessments and methods which must undergo review. Graduation competency assessments that incorporate test instruments measuring skill levels fall under this purview. It is recommended that colleges/districts follow the guidelines spelled out in the standards when utilizing test instruments as graduation competency assessments, and multiple measures must be implemented.

42. CAN A PLACEMENT TEST ALSO BE USED TO ASSESS COMPETENCY?

Yes, assessment instruments designed for placement purposes and those used to determine graduation competencies are similar in that both provide a snapshot of the student's current skill level(s). However, it should be mentioned that sound educational practice points to the college curriculum as the optimal setting for the determination of graduation competency. Through faculty review of course outlines across the curriculum, courses can be identified that require reading, writing, or math skills at the level established for fulfilling a graduation competency. These courses could then be designated as meeting the appropriate competency.

When a test instrument is used to assess competency, multiple measures must also be utilized [*Title 5, Section 55521(a)(3)*].

43. IS THERE A CORRECT WAY TO LIST TEST RESULTS AS A PREREQUISITE IN THE CATALOG AND CLASS SCHEDULE?

No. It is important to remember that assessment results/cut scores must be validated for courses for which they will serve as a prerequisite. And a single test score cannot be used to meet a prerequisite. Hence, any prerequisite wording in catalogs and class schedules must never reference a single test score. The wording for prerequisites in your catalog, class schedule, and all other student-directed publications is again an institutional decision, but some suggested prerequisite descriptions might be:

- *the equivalent skill level as determined by the College Mathematics Assessment*
- *qualification through the assessment process*
- *placement through the assessment process*

Whatever description is adopted, it must be clear that a test score alone cannot satisfy a prerequisite.

Please also keep in mind that the courses that have properly established prerequisites require course completion or an approved assessment process for placement, and in those instances a student is not allowed to "self" assess.

44. CAN A COLLEGE REQUIRE CERTAIN STUDENTS TO TAKE THE ESL ASSESSMENT?

No. A holistic assessment is required for all non-exempt students except where a district has established additional exemption criteria. The district cannot subject any person to unlawful discrimination. [Title 5, Sections 55502(b), 55520(c), 55521(a)(6), 55532]. A college or district – using established and defined criteria that have been carefully scrutinized by college faculty, staff, and administrators – may advise students regarding the appropriateness of the English and ESL assessments, but students must be free to choose which assessment they wish to take.

45. CAN A STUDENT BE PLACED INTO THE ENGLISH CURRICULUM ON THE BASIS OF AN ESL LANGUAGE TEST?

Most often, the answer is an emphatic no. Section 55521(a)(2) of the Title 5 Regulations states that colleges may *not* use an assessment instrument “for a purpose other than that for which it was developed or has been otherwise validated.” Content-related validity evidence addresses the extent to which course prerequisite knowledge and skills are measured by the test for all courses *in a sequence* into which the test is being used to place students. An English course is typically not considered part of the ESL sequence as there is a minimal overlap of knowledge/skills measured by the ESL test and the knowledge/skills required as prerequisites for the English course. However, it may be a local (college/district) decision to permit such a placement provided the content-related validity evaluation adequately documents the appropriateness and representativeness of the ESL’s test items for the objectives of the English course [March 2001 Standards Document, Section Three, I B. Specific Criteria for Objectively Scored Measures Developed and Maintained by a Second Party External to the California Community Colleges—Primary Responsibility of the Local College or District; Section Three, II. Specific Criteria for Objectively Scored Tests Developed or Managed by a California Community College or District; and Section Three, III B. & C. Specific Criteria for Direct Performance Assessments.].

It should be noted that even if the college validation determines that the ESL test is an appropriate instrument for placing students into the English curriculum, the test cannot be used as the sole measure for placement purposes – i.e., the college must employ multiple measures in making course placement decisions.

46. CAN A STUDENT BE PLACED INTO THE ESL CURRICULUM ON THE BASIS OF AN ENGLISH LANGUAGE TEST?

Most often, the answer is an emphatic no. Section 55521(a)(2) of the Title 5 Regulations states that colleges may *not* use an assessment instrument “for a purpose other than that for which it was developed or has been otherwise validated.” Content-related validity evidence addresses the extent to which course prerequisite knowledge and skills are measured by the test for all courses *in a sequence* into which the test is being used to place students. An ESL course is typically not considered part of this sequence as there is a minimal overlap of knowledge/skills measured by the English language test and the knowledge/skills required as prerequisites for the ESL course. However, it may be a local (college/district) decision to permit such a placement provided the content-related validity evaluation

adequately documents the appropriateness and representativeness of the English language's test items for the objectives of the ESL course *[March 2001 Standards Document, Section Three, I B. Specific Criteria for Objectively Scored Measures Developed and Maintained by a Second Party External to the California Community Colleges—Primary Responsibility of the Local College or District; Section Three, II. Specific Criteria for Objectively Scored Tests Developed or Managed by a California Community College or District; and Section Three, III B. & C. Specific Criteria for Direct Performance Assessments.]*

It should be noted that even if the college validation determines that the English language test is an appropriate instrument for placing students into the ESL curriculum, the test cannot be used as the sole measure for placement purposes – i.e., the college must use multiple measures in making course placement decisions.

47. CAN A STUDENT BE REFERRED TO THE COLLEGE'S ESL ASSESSMENT ON THE BASIS OF AN ENGLISH LANGUAGE TEST?

Yes, the student can be referred to the ESL assessment but cannot be mandated to unwillingly take the ESL assessment. The referral provided by the college should not be made solely on the English language test score alone, but instead the college must employ multiple measures in referring the student to the subsequent ESL evaluation *[Title 5, Section 55521(a)(3)]*.

48. WHAT MULTIPLE MEASURES ARE USEFUL IN PLACING STUDENTS INTO ESL COURSES?

As stated previously, the choice of which measures to use should be decided jointly by counselors, advisors, ESL discipline faculty, assessment directors and assessment staff, Matriculation coordinators, and research staff. ESL faculty should be able to describe the attributes that a student would need to be successful in the department's courses at each level. Then the process becomes one of "what can we find out about the student that will elicit this information?"

To satisfy the multiple measures requirement, many colleges have elected to use multiple test instruments that are not highly correlated with one another. A writing sample used in combination with a grammar test may not satisfy the requirement for use of multiple measures, but perhaps either or both of those tests used in conjunction with a reading test and/or a listening/speaking test would *[Title 5, Section 55521(a)(3)]*. Other variables used as multiple measures by some colleges include:

- Student's first/primary/native language
- Length of time living in the United States
- Years of schooling in native country
- Years of schooling in the United States
- Frequency of use of English in speaking, reading, and/or writing (outside the classroom)
- Student self-assessment of English speaking, reading, and/or writing abilities
- Student employment hours while enrolled at the college
- High school and/or adult education school ESL courses
- Parents' or spouse's proficiency in English

49. CAN COLLEGES USE A WRITING SAMPLE TO PLACE STUDENTS INTO ENGLISH AND ESL COURSES? CAN COLLEGES USE AN ORAL INTERVIEW AS AN ASSESSMENT TOOL?

Yes. The *March 2001 Standards Document* provides for the use of such performance-based assessments as writing samples and oral interviews. Direct performance writing assessments entail students being asked to write responses to a question, prompt, or task. The students' responses are scored using a well-defined procedure (or scoring rubric). Since direct performance tests are scored using subjective rather than objective methods, the criteria for the evaluation of these tests are different and are delineated in a separate section of the standards document [*March 2001 Standards Document, Section Three, III. Specific Criteria for Direct Performance Assessments*].

It is important to repeat here, however, that the same writing assessment should *not* be used for placement into both the ESL and English course sequences. Colleges have developed separate writing tests for these different sequences. Also, multiple measures must be employed with all methods of providing course placements/ placement recommendations to students [*Title 5, Section 55521(a)(3)*].

50. CAN COLLEGES USE A READING ASSESSMENT TO PLACE STUDENTS INTO COURSES THROUGHOUT THE CURRICULUM?

If the intent is to establish a reading prerequisite that can be satisfied by the college's assessment process that includes the use of a test, then the college must utilize a test that is on the Chancellor's Office list of approved instruments as well as multiple measures. Further, *Title 5, Section 55202(b)* allows for communication prerequisites to be established across the curriculum only when they are instituted on a course-by-course basis. Finally, a reading assessment may be established as a prerequisite to a course outside the English/reading discipline only when the college conducts both a content review and data analysis of the prerequisite. The data must show that a student is highly unlikely to succeed in the course if he/she has not met the prerequisite. Usually the reading assessment is established as an alternative to a reading course that has been implemented as the prerequisite [*Title 5, Section 55201(e)*].

51. OUR NURSING DEPARTMENT WANTS TO USE A NATIONAL NURSING EXAMINATION IN ORDER TO ENROLL STUDENTS INTO THE NURSING DEPARTMENT. IS THIS ACCEPTABLE?

No. The use of any test instrument that results in the placement of students into a college's curriculum must be on the Chancellor's list of approved instruments and used in conjunction with multiple measures. Presently there are no assessment instruments dedicated to the nursing discipline on the list of approved instruments [*Title 5, Sections 55521(a)(1) and 55521(a)(3)*].

Also, for clarification's sake, it should be mentioned that programs do not make admissions decisions. The colleges are bound to enroll all students who have been admitted to the college and who have successfully completed any prerequisites related to the program in which they wish to enroll. Programs must allow students to enroll in their courses if they have met all published and properly established prerequisites.

52. WHAT ARE THE DIFFERENT KINDS OF VALIDITY STUDIES THAT COLLEGES ARE REQUIRED TO CONDUCT?

When evaluating a test, validity is the single most important concern. Actually, the test itself is not being validated. Rather it is the use made of the test information that is being validated. Specifically, validity evidence must support the interpretation and intended use(s) of each test's scores. Colleges must clearly demonstrate that the validity evidence is meaningful, appropriate, and useful to serve the purpose of placing students into different courses. Colleges must provide two primary types of validity evidence: content-related validity evidence and evidence addressing the adequacy of cut scores.

Content-related validity evidence addresses the extent to which course prerequisite knowledge and skills are measured by the test for all courses into which the test is being used to place students.

Evidence addressing the adequacy of cut scores may be demonstrated by either a judgmental or empirical approach. A judgmental approach typically is used solely for initial setting of cut scores, but it can also be used as the only evidence to support the adequacy of cut scores provided a formal documented procedure is used. Empirical evidence can be of two types: criterion-related validity evidence or consequential-related validity evidence.

Criterion-related validity evidence addresses the extent to which scores on the placement test are related to results of an appropriate criterion measure of student ability (examples are final grade, midterm grade or test score, and instructor or student ratings of students' abilities to meet course requirements). Generally speaking, across all data sets provided, the average correlation between the test and the selected criterion measure should be greater than or equal to .35 (coefficients corrected for restriction of range are also acceptable). Criterion-related studies are most appropriate when the test has not yet been used for placement into courses.

Consequential-related studies are most appropriate when scores on the test have been used for course placement purposes. **Consequential-related validity evidence** must address *both* (1) an instructor evaluation of the readiness of individual students to undertake the material of his/her course, and (2) each student's evaluation of the appropriateness of his/her placement into that course.

[For further information, consult the March 2001 Standards Document.]

53. MY COLLEGE HAS HAD OUR ASSESSMENT INSTRUMENTS IN PLACE NOW FOR A COUPLE OF YEARS. WHY SHOULD WE CONDUCT A CONSEQUENTIAL-RELATED VALIDITY STUDY INSTEAD OF A CRITERION-RELATED VALIDITY STUDY?

First, beyond the evidence provided by the content-related studies, it is important to have empirical evidence. Continuing criterion-related validation approaches tend *not* to give useful results that help discipline faculty determine if their test is a good measure. What does a correlation of .35 mean and what does it tell the college about its test?

Consequential-related validity data speak directly to the impact of the assessment, and, after a period of use, it is these data that inform faculty how the test is working to place/advise students into their classes. If a college gathers data that indicate the instructors believe students in their courses are (versus are not) prepared, then there is some strong assurance and inference that scores on the placement test support that discipline's instruction. The reverse is also true – low faculty support for the readiness of students suggests the test is placing/advising the wrong students into courses. The goal of a consequential-related validity study is to inform and empower teaching faculty. A consequential-related validity study, then, provides benefits – relying on instructors to determine student readiness, informing instructors about student readiness, and helping instructors understand the readiness of students – that are difficult to obtain in a criterion-related study. The data from the consequential-related validity study also provides a mechanism – one not available from a criterion-related study – for making needed changes in test cut scores. For example, faculty judgments indicating too many ill-prepared students are getting into a course may suggest either that the cut score for this course needs to be made more stringent or that the college reevaluate the multiple measures used in the placement process.

Finally, a consequential-related validity study also can be used to provide essential data to justify/explain findings from a disproportionate impact study. For instance, should a college's disproportionate impact study indicate that female students are placed into lower courses at a much greater rate than are male students, this finding could be justified if the college's consequential-related validity study indicates that the female students and pertinent instructional faculty believe these students to be appropriately placed.

54. WHY SHOULD WE ASK STUDENTS IF THEY ARE APPROPRIATELY PLACED WHEN THEY DON'T EVEN KNOW WHAT SKILLS THEY HAVE?

Decisions from tests not only impact instructors, but most directly and decidedly test results impact students. Reliance on student judgment seeks their input to the test evaluation process since student course placements are the direct consequence of the use of multiple measures including the test. While students may not be fully cognizant of their skill levels per se, it is nevertheless useful to identify whether or not they believe – given the rigor of the course material and the pace of the class – that they are in a learning environment in which they feel they can succeed.

Framing of the question put to students must be precise with an adequate response scale. The central question for the student is: Are you finding that you are able to meet – and are being successful in meeting – the learning demands of this course? Capturing the data about four to eight weeks into a class should provide a basis for judging the equity of the test with reference to the student as “user.” As with instructor judgments, the information garnered from students can help a review of the test and perhaps suggest changes to existing subscores.

55. CAN MY COLLEGE ESTABLISH A TEST INSTRUMENT'S VALIDITY BY CORRELATING PLACEMENT TEST RESULTS WITH RESULTS FROM A UNIFORM FINAL EXAM?

It is possible, but there are several problems with this design. First, from the time the student takes a placement test, the result on that test is mitigated by a myriad of factors that may include – but are not limited to – any of the following:

- Multiple measures used with the test score to place the student
- Student's learning style
- Instructor's grading criteria
- Academic interventions such as tutoring, peer study groups, and meetings with the instructor
- Student's motivation
- Major events in the student's life, such as illness, change in job status, change in marriage/relationship (marriage, difficulties/break-up, family births and deaths, etc.)

Any number of these factors can enhance or detract from the student's ability to perform well on a final exam.

Second, a final exam will not be the same across different courses (e.g., the final exam for intermediate algebra will be different from that for beginning algebra), and therefore research will likely result in abysmally low correlations that carry little meaningful information.

Still, individual researchers will likely have varying opinions on this issue, and it is ultimately a college/district determination to conduct such a validity study. However, should a college conduct such a study and it yields a weak correlation, then that the correlation can not be used to justify the validity of the test or its utility.

56. HOW CAN SOME OF THE TEST INSTRUMENTS ON THE APPROVED LIST THAT HAVE BEEN AROUND SO LONG STILL BE CONSIDERED VALID AND USEFUL?

While it is true that there are some assessment instruments that have been on the Chancellor's list of approved instruments for many years, no instrument remains on the list for more than six years without undergoing the renewal process by which its validity, bias, and utility are revisited and reevaluated. A college, whether its role is test developer, test manager, or user of a second-party test, should not assume that a test's coverage remains adequate or acceptable. Over time, student populations change, focus of content in a discipline changes, and even the role or purpose of some courses may change. It was for these reasons that the decision was made to include in the standards a requirement for both the test publisher and the colleges to continually provide evidence demonstrating the adequacy of the test instrument. The publisher has a responsibility to ensure that the test's coverage of content remains current with course expectations. The college – and in particular, the discipline faculty – has the greater responsibility to judge the continuing appropriateness of the test for its courses. This periodic review of each test instrument is to take place every 5 or 6 years with the hope that the reevaluation of the test by both the publisher and user will help alert users to the potential need to

change instruments or keep their test instruments consistent with changes in course expectations.

Again, it is important to point out that the test itself is not being continually validated. Rather it is the test scores and the use made of that test information that is being formally and periodically monitored/validated.

57. WHAT IS THE DIFFERENCE BETWEEN COMPUTER-ADMINISTERED TESTING AND COMPUTER-ADAPTIVE TESTING? DO DIFFERENT STANDARDS APPLY TO THEM?

Computer-administered testing entails the administration by computer of a fixed assessment in a standardized format to all students. The computer-administered test may be a simple transition from a traditional paper-and-pencil test to the computer medium or it may be a test designed specifically and exclusively for use on the computer. Variation from paper-and-pencil format could include the time students are given to respond to an item, not allowing students to return to test items already presented, etc.

Computer-adaptive testing entails a test item pool that is uniquely administered to each student based on that student's pattern of correct and incorrect answers to previous test items. Thus, the sequence of test items administered to each student and the test items themselves will vary. The difficulty of test items presented to the student is quickly and automatically changed based on that student's skill level (how the student answered the previous items). The test is untimed so the students work at their own pace, and fewer test items are administered to students than would be the case with a paper-and-pencil test. Colleges investigating the use of computer-adaptive tests can ask for and publishers must provide sample items from the tests.

For the most part, the standards governing both the computer-administered and computer-adaptive tests are the same as those for other types of test instruments. However, the standards have been enhanced and in some cases modified to apply to the unique testing framework presented by electronically formatted tests, and these criteria and guidelines are spelled out in Section Four of the *March 2001 Standards Document*.

(In another very limited sense, computer-adaptive testing refers to assessment methods utilized by and designed for students whose disabilities do not permit them to use other assessments and whose functional limitations must be accommodated [Title 5, Section 55522]. Questions regarding the assessment of this student population should be referred to the college's Disabled Students Programs & Services.)

58. WHAT IS CRITICAL MASS?

The concept of "critical mass" refers to situations where the validity evidence for a specific test instrument has been accumulated by a minimum of six colleges from six different California Community College districts to the extent that its utility may extend to other colleges. Therefore, the test should be available for other colleges' use as a second-party test. The evidence can be submitted to the Chancellor's Office in one of two ways:

1. By the six or more colleges accumulating the evidence independent of one another (each college locally managing the test with approval status), or

2. By a collaborative effort or consortium of six or more colleges working together to gather the evidence necessary to secure the Chancellor's Office approval. (Section Five of the *March 2001 Standards Document* describes the studies each college in the consortium must conduct as well the evidence that can be gathered by group studies.)

Also, so that other colleges are able to generalize the critical mass validation data to their own college, the colleges constituting a critical mass must form a representative sample of California Community College student populations in such terms as age, gender, and ethnicity.

Because a test approved by critical mass is seen as a second-party test, other colleges wishing to adopt this test would not have to replicate all of the data collection normally required for locally managed tests. Instead the colleges assume "primary responsibility of the local college or district" for a second-party developed instrument [*March 2001 Standards Document, Section Three, I B. Specific Criteria for Objectively Scored Measures Developed and Maintained by a Second Party External to the California Community Colleges—Primary Responsibility of the Local College or District; and Section Three, III. B. Specific Criteria for Direct Performance Assessments—Primary Responsibilities of the Local College or District for Second-Party Developed Direct Performance Assessment*].

The approval period for a test approved as a second-party test through the critical mass process commences when the Assessment Work Group has determined that the test has met the critical mass criteria.

The Assessment Work Group will review test instruments that *do not* assess basic skills (math, reading, writing, and ESL) *only* if they are submitted through a critical mass approach by a consortium of six or more colleges. The California Chemistry Diagnostic Test was the first and, to date, the only test to be reviewed and receive full approval using the critical mass approach.

59. WHAT IS RENEWAL?

The evaluation of the appropriateness of an assessment instrument's use as a placement tool should be ongoing. Because student populations and discipline/course content and purposes change over time, a test instrument must be reviewed every six years for a college to be assured the test's coverage remains accurate and acceptable. Therefore, a test that has been approved for a six-year term must undergo a "renewal" process whereby the test publisher/manager submits *new* evidence to be examined by the Assessment Work Group in order to maintain that test on the Chancellor's List of approved tests – and permit that test's continued use for course placement. New evidence is defined as having been collected within the last three years; i.e., within the three-year period prior to the renewal submission.

60. AT TIME OF RENEWAL, WHAT DOES A COLLEGE HAVE TO DO TO KEEP A TEST ON THE APPROVED LIST?

The role of the college in the renewal process is defined by the type of test instrument used [See *March 2001 Standards Document, Section Six. Specific Criteria for the "Renewal" of a Test Instrument's Approval Status* and the subsequent matrix that summarizes publisher and college requirements for each standard]:

If a college is using a second-party test, the test publisher is responsible for submitting to the Chancellor's Office a request to renew the test along with either criterion-related or consequential-related validity evidence from at least six community colleges – four of which must be California Community Colleges which represent the diversity of courses and students within the CCC system – that is supportive of the test's continued use as a placement tool. The publisher must also provide college users with a content-related description of the test as well as an adequate number of test items to permit colleges to conduct an item-by-item content-related validity study. The college must conduct this study as well as a cut-score validation and disproportionate impact study (the latter to be monitored for various demographic groups every three years), and the college must maintain this documentation for review by a matriculation site visit team. Please note that a new test bias study is only necessary if the college's student population has changed or if the test itself has been altered.

If the college is using a locally developed or managed test, it must submit to the Chancellor's Office the renewal request along with the necessary content-related validation evidence, cut-score validation evidence, and disproportionate impact data (again the latter to be monitored for various demographic groups every three years). Please note that a new test bias study is only necessary if the college's student population has changed or if the test itself has been altered.

It is important to emphasize that *all* data supporting the renewal of a test instrument must be collected within the three-year period prior to the renewal submission.

61. WHEN SHOULD RENEWAL EVIDENCE BE SUBMITTED?

To ensure an assessment instrument maintains its status on the approved list beyond its initial (or any subsequent) six-year term, the publisher or manager of the test should submit documents necessary for reconsideration during the fifth year of the six-year "Approved" period, thereby allowing ample time for review and evaluation. Second-party publishers are *required* to submit the renewal evidence at least one year in advance of their approved tests' expiration date (thus helping to maintain continuity of college use of the second-party test instruments). While it is recommended that colleges that have developed or are managing tests also submit the necessary documents during the fifth year of the current approval period, colleges may wait to submit the renewal evidence at either of the two review dates during the sixth and final year of approval.

62. CAN A TEST UP FOR RENEWAL EARN ANY LEVEL OF APPROVAL, OR IS THE TEST SIMPLY APPROVED OR NOT APPROVED?

An assessment undergoing “renewal” review may be placed in any one of the three approval categories (Full Approval, Provisional Approval, or Probationary Approval). If a test is provisionally or probationally approved during the “renewal” process, the timelines for attaining full approval status are the same as for an initial approval request.

63. ARE THE COLLEGES REQUIRED TO USE APPROVED ASSESSMENT INSTRUMENTS FOR THE PLACEMENT OF STUDENTS INTO THE NONCREDIT CURRICULA?

Yes. The legislation that created noncredit Matriculation extended the provision of Matriculation services to the noncredit student population. It was not intended to establish a different set of services or to allow exemption from the Matriculation regulations governing the credit student population.

III. Resources on Assessment Available to Colleges

ASSESSMENT GUIDELINES

- **Assessment 101**, March 2002 (Dan Baker, CCCAA)
- **Chancellor's List of Approved Instruments**, published semiannually, available on Chancellor's web site (www.cccco.edu)
- **Multiple Measures and Other Sorrows**, March 1998 (Arnold Bojorquez, CCC Chancellor's Office)
- **Standards, Policies and Procedures for the Evaluation of Assessment Instruments Used in the California Community Colleges (4th edition)**, March 2001 (CCC Chancellor's Office, CCC Matriculation Advisory Committee Assessment Work Group, and University of Kansas Center for Educational Testing and Evaluation)
- **Standards for Educational and Psychological Testing**, 1999 (American Educational Research Association, American Psychological Association, and National Counsel on Measurement in Education)
- **Title 5 Matriculation Regulations**, revised March 1998 (CCC Chancellor's Office)

RESEARCH DESIGNS

- **Matriculation Local Research Options Project**, November 1989 (California Association of Community Colleges, Southern California Community College Institutional Research Association, NORCAL Community College Research Group, and CCC Chancellor's Office)
- **Assessment Validation Project: Local Research Options**, February 1991 (Community College League of California, Southern California Community College Institutional Research Association, NORCAL Community College Research Group, and CCC Chancellor's Office)
- **Matriculation Evaluation: Monographs on Designs from the Local Research Options Project**, February 1992 (Community College League of California, Southern California Community College Institutional Research Association, NORCAL Community College Research Group, and CCC Chancellor's Office)
- **Exemplars of Documentation Submitted by California Community Colleges in Support of Their Use of Locally Developed/Managed Assessment Instruments**, November 1993 (CCC Chancellor's Office)
- **A Guide to Assist with the Design and Implementation of Investigations to Evaluate Tests in consideration of the CCC Assessment Standards**, April 2001 (John Poggio and Douglas Glasnapp, University of Kansas Center for Educational Testing and Evaluation)

CONTACTS – ORGANIZATIONS AND STAFF

California Community Colleges Assessment Association (CCCCAA)

- CCCAA List Serve – to subscribe, send email to:
Listserv@Listserv.cccnext.net
Include the phrase: subscribe cccaa
Use no subject or signatures. A confirmation note will be sent immediately.
- Dan Baker, San Joaquin Delta College danbaker@deltacollege.edu
(209) 954-5783
- Parveen Nasseem, Santa Rosa Jr. College pnasseem@santarosa.edu
(707) 521-7823
- Mark Samuels, Southwestern College msamuels@swc.cc.ca.us
(619) 482-6507

California Community College Chancellor's Office

- Web Site: www.cccco.edu
- Arnold Bojorquez, Coordinator
Matriculation Unit abojorqu@cccco.edu
(916) 323-0799
- Chuen-Rong Chan, Specialist
Matriculation Unit cchan@cccco.edu
(916) 322-7988

University of Kansas Center for Educational Testing and Evaluation

- Doug Glasnapp, Co-Director drg@ku.edu
(785) 864-9692
- John Poggio, Co-Director jpoggio@ku.edu
(785) 864-9605

OTHER RESOURCES

- California Community College Assessment Directory, 2002 (CCCCAA)
- California Community College Assessment & Placement Instruments, 2001-02 (CCCCAA)

CALIFORNIA COMUNITY COLLEGES CHANCELLOR'S OFFICE

11020 STREET
SACRAMENTO, CA 95814-6511
(916) 445-8752
[HTTP://WWW.CCCCO.EDU](http://www.cccco.edu)

November 21, 2000

TO: Arnold Bojorquez, Matriculation Coordinator

FROM: Ralph Black, General Counsel

Subject: Legal Opinion O 00-36

Synopsis: Attached is the legal opinion you requested regarding making orientation a mandatory matriculation service.

Action/Date Requested: Review and distribute as necessary.

ISSUE

You have asked whether a community college district may require students to participate in orientation services as part of the matriculation program and, if so, what penalties the district may impose for students who fail to do so.

ANALYSIS

The Board of Governors has adopted regulations set forth at Title 5, California Code of Regulations, sections 55500 et seq., which implement the Seymour-Campbell Matriculation Act (Ed. Code §§ 78210 et seq.). Title 5, section 55520 states that

“At a minimum, each community college district shall provide students, except as exempted pursuant to section 55532, with all of the following matriculation services:
(a) the processing of applications for admission;
(b) orientation and pre-orientation services designed to provide nonexempt students and potential students, on a timely basis, information concerning college procedures and course scheduling, academic expectations, financial assistance, and any other matters the college or district finds appropriate; ...

The first part of your question is whether this authorizes a district to mandate that students must go through orientation.

We believe section 55520 can reasonably be construed to mean that students are required to participate in the services listed therein unless granted an exemption. This view is confirmed by reference to section 55502(f) which defines the term “exemption” to mean “waiving or deferring a student’s participation in orientation, assessment, counseling, or advisement required pursuant to Subsections (b), (c), and (f) of Section 55520.” Moreover, section 55532 provides, in pertinent part, that:

“(a) Community college districts may elect to exempt certain students from participation in orientation, assessment, counseling or advisement, as required by subsections (b), (c), or (d) of section 55520. Each such district shall establish policies specifying the grounds for exemption. Such policies shall be identified in the matriculation plan required under section 55510 and the number of students so exempted shall be reported, by category, to the Chancellor pursuant to section 55514. ...
(b) Any student exempted pursuant to this section shall be notified that he or she is covered by an exemption and shall be given the opportunity to choose whether or not to participate in that part of the matriculation process.”

Indeed, subsection (d) of section 55532 emphasizes that students may not simply opt out of certain parts of the matriculation program because it restricts the grounds on which a district may exempt a “student who does not wish to participate.” It follows that if a district does not elect to exercise its authority to grant exemptions from the orientation component, students do not have the option to choose whether or not they wish to participate in that aspect of the

matriculation program.

The second part of your question has to do with what penalties a district may impose if a student refuses to go through orientation. This issue is addressed in section 55530 which defines student rights and responsibilities Subsection (d) of section 55530, Title 5, provides that:

“(d) Students shall be required to express at least a broad educational intent upon admission; declare a specific educational goal within a reasonable period after admission; participate in counseling or advisement pursuant to Section 55523(a)(1), (2), and (3); diligently attend class and complete assigned coursework; and complete courses and maintain progress toward an educational goal according to standards established by the district, consistent with the requirements of Chapter 9 (commencing with Section 55750) of Division 6 of this Part. The governing board of each community college district shall adopt clear written policies not inconsistent with law, specifically defining these responsibilities of students and the consequences of failure to fulfill such responsibilities. This policy shall define the period of time within which a student must identify a specific educational goal as required by this Subsection, provided however, that all students shall be required to declare such a goal during the term after which the student completes 15 semester units or 22 quarter units of degree-applicable credit course work, unless the district policy establishes a shorter period. Once the student has developed a specific educational goal, the district must provide the student with an opportunity to develop a student educational plan pursuant to Section 55525. Student responsibilities shall also be identified in the student’s educational plan developed pursuant to Section 55525. If a student fails to fulfill the responsibilities listed in this Subsection, fails to cooperate with the district in the development of a student educational plan within 90 days after declaring his or her specific educational goal, or fails to abide by the terms of his or her student educational plan, the district may, subject to the requirements of this Chapter, suspend or terminate the provision of services authorized in Section 55520, provided however, that nothing in this Section shall be construed to permit a district to suspend or terminate any service to which a student is otherwise entitled under any other provision of law.”

It is our view that section 55530(d) means that a district wishing to make orientation mandatory must so state in its local policies and include participation in orientation as one of the responsibilities delineated in each student’s educational plan. If the student fails to fulfill the responsibilities listed in his or her educational plan, the district’s recourse is to suspend or terminate one or more of the services authorized under section 55520, unless the student is entitled to any such service under another provision of law.

It might be objected that section 55530(d) does not mention participation in orientation as one of the basic responsibilities of all students. This may be because the regulations allow for exempting students from orientation, but in any case, we see nothing in section 55530(d) which would preclude a district from defining additional responsibilities in district policy and enforcing them by means of the student educational plan.

It should, however, be noted that section 55530(a) specifically makes clear that a district does not have the option of barring a student from enrollment in a course for failure to participate in orientation. That subsection states:

“Nothing in this Subchapter shall be construed to interfere with the right of a student admitted to a community college in accord with district admission policies adopted pursuant to Education Code Section 76000, et seq. to enroll in any course for which he or she can meet necessary and appropriate prerequisites, if any, which have been established pursuant to the requirements of Article 2.5 (commencing with Section 55200) of Subchapter 1 of Chapter 6 of this Division.”

CONCLUSION

Thus, we conclude that a community college district may require all students to participate in orientation. To do so, the district must identify this responsibility and the consequences of failure to fulfill it in the district’s matriculation policies and in each student’s educational plan. If it follows this procedure, the district may suspend or terminate other matriculation services if a student declines to participate in orientation (unless the student is otherwise entitled to receive that service), but the district may not bar a student from enrollment in any course or program unless it has properly established orientation as a prerequisite for that course or program.

The Model District Policy
on
Prerequisites, Corequisites, and Advisories on Recommended Preparation

Board of Governors
September 1993

This model is written as a district policy for a multi-college district. Districts that have only one college may wish to edit accordingly. Indeed, even multi-college districts may prefer a policy that leaves more or less discretion to the colleges.

Some parts of the model are specifically required by the regulations and, therefore, must be part of every district's policy. Such required sections are marked "Regulation" in the margin. Parts of the model are crucial to satisfactory implementation of the regulations and are marked "Crucial" in the margin. Districts may change these crucial parts of the model as they draft their own local policies. However, they must submit a rationale for any changes in the crucial areas of the model, and those changes require the approval of the Chancellor. Still other parts of the model are only advisory. They represent the counsel of those faculty and administrators who have studied these issues carefully over the last many months but may be changed in whatever manner the local district sees fit.

Since this model as it stands provides for all requirements of state law, a district which simply adopts this model and submits it as its local policy will thereby have met all related provisions of law and will receive prompt approval and support by the Chancellor's office. If, however, the district believes it has a better way to establish review, and provide for challenges to prerequisites, corequisites, advisories, and limitations on enrollment, it is welcome to adopt the policies it deems most advisable and, then, to submit that policy to the Chancellor together with a rationale for changes in the crucial areas of the model. If the district delegates certain of these matters, then the college policies or procedures must be submitted at the same time. The Chancellor's staff will review the policies joined, if the task force's recommendation is accepted, by people from the field, both faculty and appropriate administrators. If the policies offer sound processes and comply with the regulations, they will be approved. If the district policy is challenged legally after being approved by the Chancellor, the Chancellor's office will support the district by attesting to the fact that the policy meets all applicable provisions of law.

It has been difficult to develop a model policy that balances access and quality, that seeks to get meaningful information to students, maintain academic quality and integrity while also avoiding the creation of unnecessary obstacles to the achievement of students' goals. This document was developed by a Chancellor's Task Force relying on work not only by its own subcommittee but also by the Academic Senate, the Chief Instructional Officers, and others. Those who developed this model hope it will meet the needs of many and serve as a fruitful basis for discussion and local policy development for all.

The [name] Community College District adopts the following policy in order to provide for the establishing, reviewing, and challenging of prerequisites, corequisites, advisories on recommended preparation, and certain limitations on enrollment in a manner consistent with law and good practice. The board recognized that, if these prerequisites, corequisites, advisories and limitations are established unnecessarily or inappropriately, they constitute unjustifiable obstacles to student access and success and, therefore, the board adopts this policy which calls for caution and careful scrutiny in establishing them. Nonetheless, the board also recognizes that it is as important to have prerequisites in place where they are a vital factor in maintaining academic standards as it is to avoid establishing prerequisites where they are not needed. For these reasons, the board has sought to establish a policy that fosters the appropriate balance between these two concerns.

I.A. Crucial

The college must be required to provide clear and unambiguous information at least in the catalog and schedule defining prerequisites, corequisites, and advisories on recommended preparation, explaining the differences between these terms, explaining student rights to challenge prerequisites and corequisites or to enroll despite lacking the preparation recommended in the advisory, and listing every prerequisite or corequisite which will be enforced.

I.B. Regulation

Section 55201(e) requires that colleges have a challenge process, provide challenge at least on several specified grounds, and inform students of their rights.

I. College Policies and

I.B.1. Crucial

Procedures

A. Information in the Catalog and Schedule of Classes

Each college shall provide the following explanations both in the college catalog and in the schedule of classes:

1. Definitions of prerequisites, corequisites, and limitations on enrollment including the differences among them and the specific prerequisites, corequisite and limitations on enrollment which have been established.
2. Procedures for a student to challenge prerequisites, corequisites, and limitations on enrollment and circumstances under which a student is encouraged to make such a challenge. The information about challenges must include, at a minimum, the specific process including any deadlines, the various types of challenge that are established in law, and any additional types of challenge permitted by the college.¹
3. Define advisories on recommended preparation, the right of a student to choose to take a course without meeting the advisory, and circumstances under which a student is encouraged to exercise that right.

B. Challenge Process

Each college shall establish a process by which a student who does not meet a prerequisite or corequisite or who is not permitted to enroll due to a limitation on enrollment but who provides satisfactory evidence may seek entry into the class as follows:

It is required that provision be made for resolving challenges in a "timely manner." It is crucial that, if the challenge process takes more than five working days, the student is assured a seat in the class if the challenge is ultimately upheld.

1. If space is available in a course when a student files a challenge to the prerequisite or corequisite, the district shall reserve a seat for the student and resolve the challenge within five (5) working days. If the challenge is upheld or the district fails to resolve the challenge within the five (5) working day period, the student shall be allowed to enroll in the course. If no space is available in the course when a challenge is filed, the challenge shall be resolved prior to the beginning of registration for the next term and, if the challenge is upheld, the student shall be permitted to enroll if space is available when the student registers for that subsequent term.²
2. Grounds for challenge shall include the following:
 - a. Those grounds for challenge specified in Section 55201(e) of Title 5.
 - b. The student seeks to enroll and has not been allowed to enroll due to a limitation on enrollment established for a course that involves intercollegiate competition or public performance, or one or more of the courses for which enrollment has been limited to a cohort of students. The student shall be allowed to enroll in such a course if otherwise he or she would be delayed³ by a semester or more in attaining the degree or certificate specified in his or her Student Educational Plan.
 - c. The student seeks to enroll in a course which has a prerequisite established to protect health and safety, and the student demonstrates that he or she does not pose a threat to himself or herself or others.⁴
3. The college shall formally establish a challenge process including:
 - a. Who makes the determination of whether the challenge is valid. For challenges concerning academic qualifications, the initial determination should be made by someone who is knowledgeable about the discipline, preferably someone qualified to teach in the discipline, but not the person who is the instructor of the section in which the student wishes to enroll.

I.B.3. Crucial

Colleges must be required to specify who handles the challenge and the appeal process if one is being established.

- b. What possibility of appeal exists. If the validity of the challenge is determined by one person and not a committee, there must be an opportunity to appeal.
- c. The student has the obligation to provide satisfactory evidence that the challenge should be upheld. However, where facts essential to a determination of whether the student's challenge should be upheld are or ought to be in the college's own records, then the college has the obligation to produce that information.⁵

I.C.1. Regulation

A curriculum committee established by mutual agreement of the administration and the senate is required. However, the committee may be either "a committee of the academic senate or a committee which includes faculty and is otherwise comprised in a way that is mutually agreeable to the college and/or district administration and the academic senate." [Title 5, Section 55002(a)(1)]

I.C.2. Crucial

Title 5, Sections 53200-204 mandates that prerequisites are one of the issues on which a board must "consult collegially" with the academic senate. The specific language of the model is the counsel of the drafting committee but is not required.

I.C.3. Crucial

Section 55201(b)(1) requires that there be content review as part of the process for establishing any prerequisite, corequisite, or advisory. It is crucial that there be a careful content review process and that the specific steps of that process are clearly specified in the policy. It is also crucial that the approval of the prerequisite or corequisite (or advisory) be done explicitly and not be inferred from the approval of the course. Lastly, it is also crucial that provision be made for providing those with expertise on the discipline in question an adequate voice in the content review process.

C. Curriculum Review Process

The curriculum review process at each college shall at a minimum be in accordance with all of the following:

1. Establish a Curriculum Committee and its membership in a manner that is mutually agreeable to the college administration and the academic senate.
2. Establish prerequisites, corequisites, and advisories on recommended preparation (advisories) only upon the recommendation of the academic senate except that the Academic Senate may delegate this task to the Curriculum Committee without forfeiting its rights or responsibilities under Section 53200-53204 of Title 5. Certain limitations on enrollment must be established in the same manner. See II.C. below.
3. Establish prerequisites, corequisites, advisories on recommended preparation, and limitations on enrollment only if:
 - a. The faculty in the discipline or, if the college has no faculty member in the discipline, the faculty in the department do all of the following.
 - (1) Approve the course;⁶ and,
 - (2) As a separate action, approve any prerequisite or corequisite, only if:
 - (a) The prerequisite or corequisite is an appropriate and rational measure of a student's readiness to enter the course or

program as demonstrated by a content review including, at a minimum, all of the following:

- i. involvement of faculty with appropriate expertise;
 - ii. consideration of course objectives set by relevant department(s) (the curriculum review process should be done in a manner that is in accordance with accreditation standards);
 - iii. be based on a detailed course syllabus and outline of record, tests, related instructional materials, course format, type and number of examinations, and grading criteria;
 - iv. specification of the body of knowledge and/or skills which are deemed necessary at entry and/or concurrent with enrollment;
 - v. identification and review of the prerequisite or corequisite which develops the body of knowledge and/or measures skills identified under iv.
 - vi. matching of the knowledge and skills in the targeted course (identified under iv.) and those developed or measured by the prerequisite or corequisite (i.e., the course or assessment identified under v.); and
 - vii. maintain documentation that the above steps were taken.
- (b) The prerequisite or corequisite meets the scrutiny specified in one of the following: II.A. 1 a. through A.1.g. and specify which.⁷

I.C.3.a.(4) Regulation

Section 55002 requires that courses be approved only if they meet specific criteria established for degree credit courses, non-degree applicable credit courses, non-credit courses, or community services classes. Subsections (a)(2)(D) and (a)(2)(E) of Section 55002 require further that courses that should have prerequisites to ensure academic standards may only be approved as degree applicable courses provided that the criteria have been met for establishing the needed prerequisites.

- (3) Approve any limitation on enrollment that is being established for an honors course or section, for a course that includes intercollegiate competition or public performance, or so that a cohort of students will be enrolled in two or more courses, and, in a separate action, specify which.
- (4) Approve that the course meets the academic standards required for degree applicable courses, non-degree applicable courses, non-credit courses, or community service respectively.⁸
 - (A) Review the course outline to determine if a student would be highly unlikely to receive a satisfactory grade unless the student had knowledge or skills not taught in the course. If the student would need knowledge or skills not taught in the course then the course may be approved for degree applicable credit only if all requirements for establishing the appropriate prerequisite have been met excepting only approval by the Curriculum Committee.
 - (B) Review the course outline to determine whether receiving a satisfactory grade is dependent on skills in communication or computation. If receiving a satisfactory grade is sufficiently dependent on such skills, then the course may be approved for degree applicable credit only if all requirements have been met for establishing a prerequisite or co-requisite of not less than eligibility for enrollment to a degree-applicable course in English or mathematics, respectively.⁹

I.C.3.a.(4)(C) Regulation

Section 55002(a) specifies conditions a course must meet before a curriculum committee may approve it for degree applicable credit. Subsections 55002(a)(2)(D) and (E) specify that establishing a prerequisite or corequisite is a condition for approval if “a student would be highly unlikely to receive a satisfactory grade unless the student has knowledge or skills not taught in the course,” or “success in the course is dependent upon communication or computation skills.”

- (C) A course which should have a prerequisite or corequisite as provided in (A) or (B) but for which one or more of the requirements for establishing a prerequisite have not been met may only:¹⁰

- [1] Be reviewed and approved pursuant to the standards for non-degree applicable credit, non-credit, or community service; (Section 55002) or
[2] Be revised and reviewed as required to meet the criteria for establishing the necessary prerequisites or corequisites.¹¹

- b. The Curriculum Committee also reviews the course and prerequisite in a manner that meets each of the requirements specified in I.C.3.a.(1)-(4).

I.D. Crucial

Section 55201(b)(3) requires that prerequisites and corequisites be reviewed at least once every six years. The regulation only requires that advisories be reviewed periodically. However, it is crucial that the district policy specify some reasonable frequency for reviewing advisories.

D. Program Review

As a regular part of the Program Review process or at least every six years, the college shall review each prerequisite, corequisite, or advisory to establish that each is still supported by the faculty in the discipline or department and by the Curriculum Committee and is still in compliance with all other provisions of this policy and with the law. Prerequisites or corequisites established between July 6, 1990, and October 31, 1993, shall be reviewed by July 1, 1996. Any prerequisite or corequisite which is successfully challenged under subsections (1), (2) or (3) of Section 55201(f) shall be reviewed promptly thereafter to assure that it is in compliance with all other provisions of this policy and with the law.

I.E. Crucial

It is crucial that there be an explicit statement of how prerequisites, corequisites, and limitations on enrollment will be implemented. It is also crucial that the implementation not be left exclusively to each individual classroom faculty member and that it be clear in what way the registration process will be used for this implementation.

E. Implementing Prerequisites, Corequisites, and Limitations on Enrollment

Implementation of prerequisites, corequisites, and limitations on enrollment must be done in some consistent manner and not left exclusively to the classroom instructor. Every attempt shall be made to enforce all conditions a student must meet to be enrolled in the class through the

I.F. Crucial

Section 55201(b)(2) requires that there be procedures for assuring that any course for which there is a prerequisite or corequisite will be taught in a manner that fits with the documents on the basis of which the prerequisite or corequisite was established.

registration process so that a student is not permitted to enroll unless he or she has met all the conditions or has met all except those for which he or she has a pending challenge or for which further information is needed before final determination is possible of whether the student has met the condition.¹²

F. Instructor's Formal Agreement to Teach the Course as Described

Each college shall establish a procedure so that courses for which prerequisites or corequisites are established will be taught in accordance with the course outline, particularly those aspects of the course outline that are the basis for justifying the establishment of the prerequisite or corequisite. The process shall be established by consulting collegially with the local academic senate and, if appropriate, the local bargaining unit.

II. Review of Individual Courses

If the student's enrollment in a course or program is to be contingent on his or her having met the proposed prerequisite(s) or corequisite(s), then such a prerequisite or corequisite must be established as follows. If enrollment is not blocked, then what is being established is not a prerequisite or corequisite but rather an advisory on recommended preparation and must be identified as such in the Schedule and Catalog. Establishing advisories does not require all the following steps. (See II.B below.)

II.A.1. Regulation

Section 55201(b)(1) requires that there be different levels of scrutiny for different types of prerequisites and corequisites. The policy must state explicitly what these levels are and for which types of prerequisites and corequisites they will be used. In addition, Section 55201(c)(2) requires that the standard of scrutiny for any course be that a student who lacked "the skills, concepts, and/or information" would be "highly unlikely to receive a satisfactory grade in the course," namely a grade of "CR" or "C" or better as determined by content review alone or with data collection or other scrutiny.

A. Prerequisites and Corequisites

1. Levels of Scrutiny

Prerequisites and corequisites must meet the requirements of at least one of the following subsections:¹³

a. The Standard Prerequisites or Corequisites¹⁴

Each college may establish satisfactory completion of a course¹⁵ as prerequisite or corequisite for another course provided that, in addition to obtaining the review of the faculty in the discipline or department and the curriculum committee as provided above, the college specifies as part of the

course outline of record at least three of the campuses of the University of California and the California State University which reflect in their catalogs that they offer the equivalent course with the equivalent prerequisite(s) or corequisite(s). Any combination of University of California campuses and California State University campuses is acceptable in satisfaction of this requirement.

b. Sequential Courses Within and Across Disciplines¹⁶

A course may be established as a prerequisite or corequisite for another course provided that, in addition to the review by faculty in the department or discipline and by the Curriculum Committee as described above skills, concepts, and/or information taught in the first course are presupposed in the second course, and a list of the specific skills and/or knowledge a student must possess in order to be ready to take the second course is included in its outline or record.

II.A.1.c. Regulation
Section 55202(b)

II.A.1.c., d., g. Crucial

It is crucial that data be required at least for establishing these types of prerequisites and corequisites. It is also crucial that the policy specify how data will be gathered and evaluated and however it is done be consistent with sound research practices. Further, it is crucial that the policy state what the criteria will be for determining whether the data do in fact justify the establishing of the prerequisite or corequisite. Lastly, the policy must specify that a prerequisite may be put into effect before the required data have been collected only when the prerequisite is determined by the curriculum committee to be necessary pursuant to Section 55002(a)(2)(D) or (E) or other provisions of law, and that the period during which such a provisional prerequisite could be in effect be no longer than two years.

c. Courses in Communication or Computation Skills

Prerequisites establishing communication or computational skill requirements may not be established across the entire curriculum unless established on a course by course basis. A course in communication or computation skills, or eligibility for enrollment in such a course, may be established as a prerequisite or corequisite for any course other than another course in communication or computation skills if, in addition to the review by the faculty in the discipline or department and by the Curriculum Committee as provided above, the following is also done:

- (1) A list of the specific skills a student must possess in order to be ready to take the course is included in the course outline of record; and
- (2) Research is conducted as provided in II.A. 1.g.

II.A.1.d. Crucial
See note at II.A.1.c.

- (3) The prerequisite or corequisite may be established for a period of not more than two years while the research is being conducted provided that a determination is made that a student who lacks the particular skills is highly unlikely to receive a satisfactory grade because a sufficient percentage of the grade is directly dependent on these skills.¹⁷ This determination must be approved both by the faculty in the discipline as provided in I.C.3.a and by the Curriculum Committee as provided in I.C.3.b and must be based on a review of the syllabus as well as samples of tests and other assignments on which the grade is based.¹⁸

b. Cut Scores and Prerequisites

Whether or not research is required to establish a prerequisite, data collected to validate assessment instruments and cut scores is always relevant to reviewing the prerequisites for the associated courses.¹⁹ If such data are insufficient to establish the cut scores, any course prerequisites established for the same course or courses may not be printed in subsequent catalogs and schedules nor enforced in subsequent semesters until the problems are resolved, and sufficient data exist to establish the cut scores. In such a case, the collection of this data shall be done in the manner prescribed in II.A.1.g of this policy in addition to other requirements of law.²⁰ Such a prerequisite may be changed to an advisory on recommended preparation while the problems are being resolved.

II.A.1.e. Regulation
Section 55201(c)(2) requires at least this justification for establishing a prerequisite for admission to a program.

e. Programs

In order to establish a prerequisite for a program, the proposed prerequisite must be approved as provided for a course prerequisite in regard to at least one course that is required as part of the program.²¹

f. Health and Safety²²

A prerequisite or corequisite may be established provided that, in addition to the review by faculty in the department or division and by the Curriculum Committee as provided above:

- (1) The course for which the prerequisite is proposed is one in which the student might endanger his or her own health and safety or the health and safety of others; and
- (2) The prerequisite is that the student possess what is necessary to protect his or her health and safety and the health and safety of others before entering the course.

II.A.1.g. Crucial
See note at II.A.1.c.

g. Recency and Other Measures of Readiness

Recency and other measures of readiness may be established as a prerequisite or corequisite only if, in addition to the review by the faculty in the discipline or department and by the Curriculum Committee as provided above, the following is also done:

- (1) A list of the specific skills a student must possess in order to be ready to take the course is included in the course outline of record.
- (2) Data are gathered according to sound research practices in at least one of the following areas:
 - (A) The extent to which students, those currently enrolled in the course or those who have completed it, believe the proposed prerequisite to corequisite is necessary.
 - (B) Comparison of the faculty members' appraisal of students' readiness for the course to whether students met the proposed prerequisite or corequisite. The faculty appraisal could be done at

any time in the semester that the college determined was appropriate and based on independent assignments, quizzes and exams, participation in class, or other indicators that the student was or was not ready to take the course.

(C) Comparison of students' performance at any point in the course with completion of the proposed prerequisite or corequisite.²³

(D) Comparison of student performance in the course to their scores on assessment instruments in the manner required to validate an assessment instrument and cut scores for the course in question as described in II.A.1.d.

(3) The standard for any comparison done pursuant to II.A.2.(A)(D) shall be that a student is highly unlikely to receive a satisfactory grade in the course unless the student has met the proposed prerequisite or corequisite.²⁴ The research design, operational definition, and numerical standards, if appropriate, shall be developed by research personnel, discipline faculty, and representatives of the Academic Senate. If the evidence fails to meet the standard established, each college may establish the proposed prerequisite or corequisite as a recommended preparation and may seek to establish it as a prerequisite or corequisite only by following the process described in this policy and any applicable college policies.

(4) If the Curriculum Committee has determined as provided in I.C.3.A.(4)(a) or (b) that a new course needs to have a prerequisite or corequisite, then the prerequisite or corequisite may be established for a single period of not more than two years²⁵ while research is being conducted and a

- determination is being made, provided that
- (A) All other requirements for establishing the prerequisite or corequisite have already been met; and
 - (B) Students are informed that they may enroll in the course although they do not meet the prerequisite. However, students who lack the prerequisite may not constitute more than 20% of those enrolled in any section of the course.²⁶
 - (C) Prerequisites and corequisites which are exempt from review at the time they are, or were, established, as provided in Section 55201(d), are not eligible for this exception, and the research must be conducted during the six years before they must be reviewed. (See I.D. above.)

II.A.2. Regulation

II.B. Regulation

See also I.C. A properly constituted curriculum committee and content review are required. An explicit statement of the content review process is crucial and also that the content review process be careful and the specific steps of that process be clearly specified in the policy. It is also crucial that the approval of the advisory be done explicitly and not be inferred from the approval of the course. Lastly, it is also crucial that provision be made for providing those with expertise on the discipline in question an adequate voice in the content review process.

II.C. Crucial

Section 58106 lists the only ways it is permissible to limit enrollment. In addition, it is crucial that the policy specify an adequate voice for experts in the discipline on the specific limitations mentioned in the model and that these limitations be permitted only if the student would have other ways to meet any associate degree graduation requirement. Lastly, it is also crucial that such limitations be reviewed regularly and that the policy specify a reasonable schedule for such review.

2. Additional Rules

Title 5, Section 55202 specifies additional rules which are to be considered part of this document as though reproduced here.

B. Advisories on Recommended Preparation

Each college may recommend that a student meet a standard of readiness at entry only if recommended by the faculty in the discipline or department and by the Curriculum Committee as provided in I.C. above. This process is required whether the college used to describe such recommendations in its catalog or schedule as “prerequisites,” or “recommended,” or by any other term.

C. Limitations on Enrollment

The types of limitation on enrollment specified below²⁷ may only be established through the curriculum review process by the discipline or department faculty and the Curriculum Committee specified above including the requirement to review them again at least every six years, for example, as part of program review. The following requirements must also be met in order to establish these particular limitations on enrollment.

1. Performance Courses

Each college may establish audition or try-out as a limitation on enrollment for courses that include public performance or intercollegiate competition such as but not limited to band, orchestra, theater, competitive speech, chorus, journalism, dance, and intercollegiate athletics provided that:

- a. For any certificate or associate degree requirement which can be met by taking this course, there is another course or courses which satisfy the same requirement; and
- b. The college includes in the course outline or record a list of each certificate or associate degree requirement that the course meets and of the other course or courses which meet the same requirement.
- c. Limitations on enrollment established as provided for performance courses shall be reviewed during program review or at least every six years to determine whether the audition or try-out process is having an disproportionate impact on any historically underrepresented group and, if so, a plan shall be adopted to seek to remedy the disproportionate impact.²⁸ If disproportionate impact has been found, the limitation on enrollment may not be printed in subsequent catalogs or schedules nor enforced in any subsequent term until such a plan has been endorsed by the department and the college administration and put into effect. (See also Sections 55502(e) and 55512.)

II.C.1.c. Crucial

It is crucial that courses which have try-out or audition as a means for permitting students to enroll in the course also be reviewed for whether the try-out or audition is having a disproportionate impact on any historically underrepresented group. (Section 55512 requires that "Any assessment instrument, method or procedure" must be evaluated for "disproportionate impact on particular groups of students described in terms of ethnicity, gender, age or disability, as defined by the Chancellor.")

2. Honors Courses²⁹

A limitation on enrollment for an honors course or an honors section of a course may be established if, in addition to the review by the faculty in the discipline or department and by the Curriculum Committee as provided above, there is another section or another course or courses at the college which satisfy the same requirements. If the limitation is for an honors course and not only for an honors section, the college must also

include in the course outline of record a list of each certificate or associate degree requirement that the course meets and of the other course or courses which meet the same associate degree or certificate requirement.

3. Blocks of Courses or Sections³⁰

Blocks of courses or blocks of sections of courses are two or more courses or sections for which enrollment is limited in order to create a cohort of students. Such a limitation on enrollment may be established if, in addition to review by the faculty in the discipline or department and by the Curriculum Committee as provided above, there is another section or another course or courses which satisfy the same requirement. If the cohort is created through limitations on enrollment in the courses rather than limitations on specific sections of courses, then the college must include in the course outline of record a list of each certificate or associate degree requirement that the course meets and of the other course or courses which satisfy the same associate degree or certificate requirement.

The Model District Policy

Footnotes

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1. Colleges should also publish this information in the student handbook, if the colleges publishes one, or in whatever other documents that are published to assist students in understanding college rules and procedures.
 2. The college has an obligation to resolve challenges in a “timely manner.” [See Section 55201(e).] However, the student should not wait until the last minute to file the challenge. If the college could not meet the one-week timeline, it could reserve a seat for the student or make provision in its policies on maximum class size to exceed the set size for such a student.
 3. If other courses are available which meet the same requirement, the student is not being delayed. There is no obligation to honor a student=s preference. The point is that this type of limitation on enrollment should not even be established unless alternative choices exist to meet any graduation requirement satisfied by taking the performance course.
 4. The Federal Government=s Americans with Disabilities Act of 1990 requires further that if a student with a disability seeks admission to a course which has a prerequisite designed to protect health and safety, then the burden is on the college to establish that there is no accommodation available that would protect health and safety and permit the student to enroll without undue costs to the district.
 5. For example, if a student challenges on the basis of claiming that a prerequisite was not established properly, that the student must show some legitimate reason for believing that the prerequisite was not established properly. However, if the student makes a prima facie case, the college must then produce the relevant information from its own files and not expect the student to request the files and search out the information.
 6. The main point here is that the faculty, and the curriculum committee as well, must approve the prerequisite as a separate action from any approval of the course. However, it is not required that the faculty in the department in fact approve the course, although there are obvious reasons why that is recommended good practice. Title 5 requires only approval of the course by a curriculum committee that is a committee of the Academic Senate or established in a manner agreeable to the Senate and the campus administration (Section 55002). Title 5 further requires that prerequisites and all academic and professional matters be matters for the board to rely primarily on the Senate or reach joint agreement with it. (Sections 53200 et seq.)
 7. It is strongly encouraged that this review be based on the actual syllabus, texts, and tests for the course. Only in that way is it possible to determine not merely what the course theoretically should be requiring students to know but, rather, what in practice the course

actually does require students to know. If the course is new and exams have not yet been written, an advisory could be established instead of a prerequisite or the instructor could prepare sample tests and submit them at the same time the course is being proposed. If the prerequisite or corequisite is required for the course to be approved for degree applicable credit, then the instructor shall be required to submit sample tests at the same time the course is being proposed.

8. Individual courses will need to be reviewed first to determine whether, if appropriate academic standards are upheld, the students would need to have met a prerequisite or enroll in a corequisite: “When the college and/or district curriculum committee determines, based on a review of the course outline of record, that a student would be highly unlikely to receive a satisfactory grade unless the student has knowledge or skills not taught in the course, then the course shall require prerequisites or corequisites which are established, reviewed, and applied in accordance with the requirements of Article 2 (commencing with Section 55200),” and “If Success in the course is dependent upon communication or computation skills, then the course shall require. . . as pre- or corequisites eligibility for enrollment in associate degree credit courses in English and/or mathematics, respectively.” [Section 55002(a)(2)(E), emphasis added] Secondly, the texts and other grading criteria for the course would need to be examined to see whether in actual fact the students do need to have the indicated skills or knowledge. If a course should require a prerequisite as determined by the first review, but does not meet the criteria required for establishing the prerequisite, then it must be revised so it does meet that standard, or it may not be offered as a degree applicable credit course.
9. See II.A.1.c.(3) for the treatment of a course which would be required to have a prerequisite or corequisite in order to be a degree applicable course but for which data is normally required before such a prerequisite or corequisite could be established.
10. It is possible to have degree applicable courses which have no prerequisites at all. For example, although reading would be assigned in an art history class, it might be possible to learn enough through visual and auditory means to get a satisfactory grade even though the student had difficulty with the reading and, yet, the level of instruction be collegiate.
11. For example, the committee receives a proposal for a physics course that is described as requiring calculus. The curriculum committee would first determine whether a calculus prerequisite seemed necessary to the course being taught at the indicated level. Since this course would appear to need a calculus prerequisite, the second step is to see whether all the requirements have been met for establishing such a prerequisite. If they have not, then the committee could not approve the course unless either (a) the further work was done to meet all the requirements for a prerequisite; or (b) the course was approved only for non-degree applicable credit, non-credit, or community service.
12. For example, this further information might require waiting for a final grade from the previous semester to be submitted or an assessment test to be scored. If a college is not able to put information into its data base from the transcripts of all students transferring into the

college, it could simply inform the student that, according to their data, he or she has not met the prerequisite. If the student believes a course taken at another institution should satisfy the prerequisite, the student could then file a challenge and be enrolled in the course pending the resolution of the challenge. A college may also routinely ask students at the time of registration if they have met the prerequisite for the course in question and permit the student to enroll if the student says he or she has met the prerequisite. The college must then routinely check to confirm that the student has indeed met the prerequisite and, if not, the student's enrollment be canceled even if instruction has already begun.

13. Certain types of prerequisites need not be reviewed in this way until the next time the program of which they are a part is due for Program Review. See Section 55201(d).
14. This section would allow the standard and obvious prerequisites to be established with a minimum of review, enhancing the transfer function in particular and allowing for the resources of the college to be expended on the problematic cases. Examples that would fit well here are standard science class prerequisites or standard foreign language classes. Since this section is intended for very common cases, a college that is having difficulty finding three UC or CSU campuses that have the same prerequisite and the same courses should instead seek to establish the prerequisite under another subsection. However, the CAN system might provide a quick source of information on which campuses teach the most common courses. The Subject A English course is required by all UC campuses as a prerequisite for English composition classes.
15. Some courses have more than one prerequisite. Each prerequisite would have to be approved as provided.
16. Vocational courses often have obvious prerequisites, but the courses are not offered at enough UC or CSU campuses to meet the requirements of II.A.1.a. Although most such prerequisites would be within the discipline, others would not. For example, the health professions commonly have prerequisites outside the discipline such as anatomy and physiology for nursing. The same level of scrutiny could be used for establishing one course in reading or writing courses as a prerequisite for another course in reading or writing except that such prerequisites would need to be changed to advisories on recommended preparation if the data collected to establish cut-off scores on assessment tests were not sufficient for that purpose. See II.A.1.e. below.
17. That percentage need not be so high that the student who lost all those points would be certain to obtain an unsatisfactory grade. For example, if the student would lose 25% of the total points possible by failing the research paper assignment, then he or she could receive a "C" only by obtaining more than 90% of the remaining points, a very difficult task.
18. For example, if calculus is required and if problems involving calculus are on the exams but there are also extra credit opportunities sufficient to offset point lost by lacking the knowledge of calculus, then calculus is not in fact necessary. If material that is presented in reading assignments tested is also presented in class, so that it is realistic that a student with less than the recommended reading skills could nonetheless learn the material through the

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- classroom presentations, then that level of reading preparation should only be an advisory on recommended preparation rather than a prerequisite.
19. Assessment tests and cut scores may only be established in the manner prescribed in “Standards, Policies and Procedures of the Evaluation of Assessment Instruments Used in the California Community Colleges,” August, 1992.
 20. These requirements are spelled out in the document referenced in the previous footnote.
 21. If a college wishes to establish requirements to complete a course or courses before admission to a program in order to establish priorities for admission to the program, such a requirement may only be established as provided in Section 58106 of Title 5 on enrollment priorities. For example, nursing programs sometimes require completion of all requirements for the associate degree prior to admission to the nursing program itself.
 22. Districts should also review the applicable provisions of the Federal Government=Americans with Disabilities Act of 1990 in regard to any requirements that apply specifically to students with disabilities.
 23. Student performance could be measured using final grades, or it could be measured using their performance up to any point as early as six weeks into the course. The later the date chosen for measuring student performance, the more extraneous factors like change in work schedule or personal illness will also affect the data. The option described in g.(2)(b) above would permit the instructor to adjust for such irrelevant factors and even for the student who is doing the work but unsuccessfully or provide for these other factors in some other way in the research design. On the other hand, others believe that the use of faculty perception is more subjective and grades more objective. This issue is left for discussion at the campus, since all of these approaches are legitimate research methodologies, and there are no conclusive reasons to require any one of them.
 24. This standard, that a student is highly unlikely to receive a satisfactory grade in the course unless the student has met the proposed prerequisite, is not an additional measure but, rather, is the point of whatever measure is used. Whether the comparison is with student final grades or with a midterm grade or student satisfaction with the prerequisite or faculty assessment of student preparation, the point is to confirm that the student would be unlikely to succeed unless he or she met the prerequisite.
 25. Although this language would permit two years of grace, the intent is that normally the issue would be resolved during the first year. A second year is permitted only if unanticipated problems arise in the data collection process itself such that the data are lost or are rendered meaningless or unintelligible.
 26. Provision is made here for admitting students who have not met the prerequisite since collecting meaningful data on the value of the prerequisite requires being able to compare students who did meet it to students who did not. However, since a prerequisite of this type has been judged to be vital to maintaining academic standards, the qualified students should

be at least 80% of any section of the course. The college might implement this provision through labeling such prerequisites as provisional and, then, permitting individual students to challenge on that basis. The college may also simply program its computer to permit students to enroll on a first-come, first-served basis and, until the 20% limit is reached, permit students who do not have the prerequisite to simply enroll in the regular registration process. In any case, the issue of how to implement this provision is left to the district college to determine so long as students are notified of their right under this section and so long as students who lack the prerequisite are in some manner limited to not more than 20% of the total enrollment in any one section.

27. These limitations on enrollment are academic matters and need to be established through the curriculum process. Other limitations on enrollment may also be determined to be academic and professional matters as provided in Section 53200 et seq., or be included in collective bargaining agreements or be imposed by outside agencies such as fire departments. This document should not be interpreted to require or encourage any particular method for establishing other limitations on enrollment.
28. The determination of disproportionate impact should normally be done by comparing students enrolled in the course to the general student population.
29. If the honors section is a separate course, and an articulation agreement exists that treats the course differently upon transfer or if there are other extrinsic, concrete benefits to taking the honors course, then restriction on enrollment should be established as provided for prerequisites rather than as provided here for limitations on enrollment.
30. The Puente Program is perhaps the most well-known example of such a program.



California Community Colleges Matriculation Program

Calendar of Events 2011-12

September 10-11 th , 2011	Board of Governors Meeting
September 15-16 th , 2011	Matriculation New Directors Training, Holiday Inn Capitol Plaza, Sacramento
September 16 th , 2011	Student Equity and Success Award Proposals Due
September 15 th , 2011	Consultation Council, Sacramento
October 3 rd , 2011	Matriculation Advisory Committee Meeting, Chancellor's Office
October 5 th , 2011	Early Assessment Program/EPIC College Readiness Workshop, Doubletree LA
October 6 th , 2011	Early Assessment Program/EPIC College Readiness Workshop, Red Lion Sacramento
October 20 th , 2011	Consultation Council, Sacramento
October 27 th , 2011	Advisory Group on Counseling Meeting (TBD)
October 28 th , 2011	Year End Expenditure Reports Due ♦
October 28 th , 2011	CCC Matriculation Professionals Association Annual Conference, Norco College
October 31 st , 2011	Matriculation Program Plans Due ♦
November 4 th , 2011	Matriculation Advisory Committee Conference Call Meeting
November 7-8 th , 2011	Board of Governors Meeting
November 9 th , 2011	Student Success Taskforce Meeting (<i>finalize recommendations</i>)
November 17-19, 2011	Community College League of California Conference, Fairmont, San Jose
November 17 th , 2011	Consultation Council, Sacramento
December 2011	Prior Year Recalculation (R-1)
January 2012	First Principal Apportionment (P-1)
January 9-10 th , 2012	Board of Governors Meeting
February 2012	Student Success Taskforce Report due to Legislature
March 2012	Matriculation Advisory Committee Meeting (TBD)
March 2 nd	Mid-Year Reports Due ♦
March 5-6 th , 2012	Board of Governors Meeting
April 2012	California Association of Community College Registrars & Admission Officers Annual Conference
May 2012	Matriculation Advisory Committee Meeting (TBD)
May 2012	Second Principal Apportionment (P-2)
May 7-8 th , 2012	Board of Governors Meeting
July 9-10 th , 2012	Board of Governors Meeting