

## Checklist and Timeline for School Visits Required Documents for a NACCAS Visit – Full Team

Complete	Task
	<b>Upon receipt of this Checklist</b>
<input type="checkbox"/>	Ensure that all revisions outlined in the ISS Review letter sent to the school are addressed and all instructions and deadlines are followed.
<input type="checkbox"/>	Review the section below “Documents to Prepare for the Team Prior to Arrival” to begin gathering the required documents.
<input type="checkbox"/>	Review the section below “Documents in the Student File” to ensure the Team will have ready access to all listed documents.
<input type="checkbox"/>	<b>View webinar “Preparing for a Visit”. Contact Alicia Williams at <a href="mailto:awilliams@naccas.org">awilliams@naccas.org</a> to receive and complete the assessment in order to be clear on how best to be ready for the team as well as how best to respond to a limitation should the institution receive one.</b>
	<b>To be received by NACCAS <u>Four (4) weeks prior</u> to the scheduled on-site evaluation –</b> <i>Note: must be sent in hard copy via traceable means</i>
<input type="checkbox"/>	Annual Report information: <ol style="list-style-type: none"> <li>1. One copy of the cohort grid (to include Graduation, Licensure &amp; Placement) for the most recently submitted Annual Report.</li> <li>2. For every 4<sup>th</sup> student on the list (or a minimum of 3 students, whichever is greater) provide a copy of all backup documentation for each student. (<i>Review the Annual Report Instructions found on the NACCAS website for assistance with understanding what is considered acceptable backup documentation</i>)</li> </ol>
<input type="checkbox"/>	Policies and forms/documents: <ol style="list-style-type: none"> <li>1. Catalog cross-referenced to the Checklist from Policy IV.04</li> <li>2. Enrollment Agreement cross-referenced to the Checklist from Policy IV.03</li> <li>3. Refund Policy cross-referenced to the Checklist from Policy VII.01</li> <li>4. SAP Policy cross-referenced to the Checklist from Policy IX.01 or IX.02</li> <li>5. LOA Policy (if applicable)</li> </ol>
<input type="checkbox"/>	Submit the completed Pre-Visit Survey <u>via email</u> to the NACCAS Compliance Coordinator leading the visit. (This survey document is emailed to the school by the Compliance Coordinator leading the visit.)
<input type="checkbox"/>	Submit a copy of the Certificate that will be provided once you have viewed the webinar on “Preparing for a Visit and Responding to Limitations” as outlined on page one of this document.
	Annual Report Review for Compliance: <ol style="list-style-type: none"> <li>1. The NACCAS Compliance Coordinator leading the visit will review the</li> </ol>

	<p>documentation submitted to determine if it complies with Standard I, Criteria 3, 4, and 5.</p> <ol style="list-style-type: none"> <li>2. You will receive a letter outlining any data or documentation that is incorrect, incomplete, or out of compliance.</li> <li>3. For any area that is able to be corrected you will be afforded the opportunity to correct it and re-submit the information as outlined in the letter you receive. Corrections must be submitted back to the office within the timeline stated in the letter. If the timeline given passes, the non-compliance will become a limitation and included in the visit report when the team visit is concluded.</li> <li>4. For any area that is not able to be corrected, a limitation will be cited and included in the visit report when the team visit is concluded.</li> </ol>
	<p>Policies and Forms/Documents Review for Compliance:</p> <ol style="list-style-type: none"> <li>1. The NACCAS Compliance Coordinator leading the visit will review the documentation submitted to determine compliance with NACCAS requirements for that Policy or document.</li> <li>2. You will receive a letter outlining any outstanding areas of non-compliance that are able to be corrected. The letter will provide the timeline allowed for NACCAS to receive revised Policies or documents. If the timeline given passes, the non-compliance will become a limitation and included in the visit report when the team visit is concluded.</li> <li>3. For any area that is not able to be corrected, a limitation will be cited and included in the visit report when the team visit is concluded.</li> </ol>
	<p><b>1. To be received by NACCAS at least <u>seven (7) calendar days</u> prior to the date of the on-site evaluation -</b>  <i>Note: must submit in hard copy via traceable means</i></p>
<p><input type="checkbox"/></p>	<p>The following Student Lists:</p> <ol style="list-style-type: none"> <li><b>1. <u>Currently attending (active) students including:</u></b> <ul style="list-style-type: none"> <li>• Date the report was run</li> <li>• Each student’s start date</li> <li>• Course enrolled</li> <li>• Approximate number of actual hours completed</li> <li>• Approximate number of scheduled hours completed</li> <li>• Includes students on a leave of absence</li> </ul> </li> <li><b>2. <u>All graduates in each program from twelve months prior to the visit date to the present including:</u></b> <ul style="list-style-type: none"> <li>• Each graduate’s start date</li> <li>• Course enrolled</li> <li>• Scheduled graduation date</li> <li>• Actual graduation date</li> </ul> </li> <li><b>3. <u>All students whose enrollment has been terminated and/or withdrawn (either by the student, or by the institution) from twelve months prior to the visit date to the present including:</u></b> <ul style="list-style-type: none"> <li>• Each student’s start date</li> <li>• Last date of attendance</li> <li>• Withdrawal determination date by the institution</li> <li>• Actual hours clocked at the time of termination and/or withdrawal</li> </ul> </li> </ol>

	<ul style="list-style-type: none"> <li>Scheduled hours at the time of termination and/or withdrawal</li> </ul>
	<p><b>2. Prior to arrival of the NACCAS Team at the school:</b></p>
<input type="checkbox"/>	Organize and label all required documents from the lists below under “5. Documents to Provide in the Team Room Prior to Team Arrival”
<input type="checkbox"/>	Lay out all required documents in the room the team will be using
<input type="checkbox"/>	Ensure the Team has a private dedicated space to work in with surfaces on which to work with documents
	<p><b>3. Upon Arrival of the Team - Morning Plan and Information Meeting:</b></p>
<input type="checkbox"/>	Greet the Team and show them where they will be working so they can set up their work area and assess the documentation you have provided
<input type="checkbox"/>	Print out two (2) copies of the documents emailed by the NACCAS Compliance Coordinator
<input type="checkbox"/>	When the Team is ready, take the Team on a tour of the school facility
<input type="checkbox"/>	Meet with the ICPE Team Liaison and the NACCAS Compliance Coordinator (who will join the meeting via phone or skype) for the Morning Information Meeting to go over the plan for the day and answer questions
<input type="checkbox"/>	Ensure the Team is made aware of who they will be working with from your school staff who will be providing a variety of document requests throughout the visit day
<input type="checkbox"/>	Ensure the ICPE Team Liaison has the most current version of the schedule of activities for students in each class the day of the visit, including student breaks and student and instructor lunch periods.
<input type="checkbox"/>	Inform the ICPE Team Liaison of potential space(s) available for student and faculty interviews
<input type="checkbox"/>	When the School Administrator ICPE is ready have school personnel show them where the current, withdrawn and graduate student files are kept so they may retrieve files for review
<input type="checkbox"/>	Designate school personnel to assist the ICPE School Owner in a walk-through of the contents of a student file
	<p><b>4. Timeline for Receipt of Documents or Revisions During the Visit:</b></p> <p><i>(Note: if changes are not made or documents are not received by the deadline listed below the Team has been instructed to cite a limitation.)</i></p>

<input type="checkbox"/>	The institution must provide all required documents applicable to the school that are listed under “5. Documents to Provide in the Team Room Prior to Team Arrival”. Any document <i>not</i> provided in the team room prior to the team’s arrival at the school may result in a limitation in the area related to that document.
<input type="checkbox"/>	<b>By 3:00pm</b> – deadline to provide the Team with the final version of any documentation the team has allowed to be corrected during the visit.
	<p style="text-align: center;"><b>5. Documents to Provide in the Team Room Prior to Team Arrival:</b></p> <p><i>Note: This is not an all-inclusive list as additional documentation will likely be requested once the team begins their work. In addition, although many of these documents were contained in the institution’s ISS, <u>current</u> copies must be provided to the Team.)</i></p>
	<b>POLICIES – Place <u>two (2) copies</u> of the current Policies listed below into folders labeled with their contents. Ensure any applicable policy has been cross-referenced with its NACCAS Policy &amp; Checklist as noted below.</b>
<input type="checkbox"/>	Leave of Absence Policy, if applicable
<input type="checkbox"/>	Cross Referenced Satisfactory Academic Progress Policy
<input type="checkbox"/>	Cross Referenced Institutional Refund Policy
<input type="checkbox"/>	Cross Referenced Enrollment Agreement for each program
<input type="checkbox"/>	Cross Referenced Catalog – <b>3 copies</b>
<input type="checkbox"/>	Externship (Internship) Policy, if applicable
<input type="checkbox"/>	Instructor Meeting Policy
<input type="checkbox"/>	Admission Policy and Procedures
<input type="checkbox"/>	Transfer Policy
<input type="checkbox"/>	Re-Entry Policy
<input type="checkbox"/>	Ability to Benefit Policy, if applicable
<input type="checkbox"/>	Internal Grievance Policy
<input type="checkbox"/>	Academic Advising Policy and/or Procedures
<input type="checkbox"/>	Attendance Policy
	<b>STATE REGULATIONS – Provide the following state regulation. Place each type of regulation in separate folders labeled with their contents</b>
<input type="checkbox"/>	State Regulations governing the institution including its facilities, supplies, equipment and other policies regulated by the State– <b>2 copies</b>
<input type="checkbox"/>	State Regulations governing curriculum– <b>2 copies</b>
<input type="checkbox"/>	State Regulations governing a mandated refund policy, if applicable– <b>1 copy</b>
	<b>DOCUMENTATION - Place <u>one (1) copy</u> of each document below into folders labeled with their contents</b>
<input type="checkbox"/>	Improvement Plan, as applicable (based on feedback from Advisory Committee, students and graduates)
<input type="checkbox"/>	Plan for Instructor Continuing Education
<input type="checkbox"/>	Plan for Use of Substitutes

<input type="checkbox"/>	Institution's Operating Policies & Procedures
<input type="checkbox"/>	Privacy and Release of Information policy and forms
<input type="checkbox"/>	Program Participation Agreement (PPA) (signed and current) and Eligibility Certification Approval Report (ECAR)
<input type="checkbox"/>	Articulation agreement, if applicable
<input type="checkbox"/>	Training agreements with other entities, if applicable
<input type="checkbox"/>	Professional Assistance Referral Policy and/or Procedure
<input type="checkbox"/>	Requirements for Graduation
<input type="checkbox"/>	Published Annual Report Outcomes Rates
<input type="checkbox"/>	Advisory Committee Roster
<input type="checkbox"/>	Advisory Committee meeting minutes, completed surveys, etc.
<input type="checkbox"/>	Documentation of feedback from current students and graduates
<input type="checkbox"/>	Summary of feedback from current students, graduates and advisory committee
<input type="checkbox"/>	List of all currently employed regular instructors
<input type="checkbox"/>	Personnel file for each currently employed instructor
<input type="checkbox"/>	Licenses and/or Credentials for each instructor including substitutes. If licenses/credentials for currently employed regular instructors is contained within the personnel file already provided, a separate copy is not required
<input type="checkbox"/>	Instructor meeting minutes for the most recent 12 months
<input type="checkbox"/>	Documentation of completed continuing education for each instructor
<input type="checkbox"/>	Performance evaluations for each instructor
<input type="checkbox"/>	State license as a post secondary educational institution
<input type="checkbox"/>	Examples of each type of advertising for previous 12 months
<input type="checkbox"/>	Copy of Pre-enrollment Information provided to students for: <ol style="list-style-type: none"> <li>1. Access to the institution's catalog</li> <li>2. Most recent annual report statistics (outcomes rates)</li> <li>3. Certification or licensing requirements of the jurisdiction for which training is being provided</li> <li>4. Generally known pre-requisites for employment and factors that might preclude an individual from obtaining employment such as licensure requirements; regulatory oversight restrictions; physical requirements of the industry; and ability to meet requirements set forth by the employer</li> <li>5. Rationale for programs that exceed the State required length, if applicable</li> </ol>
<input type="checkbox"/>	Documentation showing that students have received the aforementioned required pre-enrollment information
<input type="checkbox"/>	Orientation information provided to students
<input type="checkbox"/>	Evidence students were provided with access to orientation program on or before the first day of class
<input type="checkbox"/>	Employment assistance provided to students and graduates
<input type="checkbox"/>	Course and/or program outlines for each course
<input type="checkbox"/>	Sample lesson plans for each course
<input type="checkbox"/>	Documentation showing that the institution is responsible for distance education, if applicable
<input type="checkbox"/>	Examples of written and practical tests
<input type="checkbox"/>	Completed forms and practical grading criteria used for evaluating students (e.g. academic learning, practical work, clinic, etc.)
<input type="checkbox"/>	Copy of each of the same Student Lists previously provided to the NACCAS Compliance Coordinator as found under Item 2 on Page 1 of this document (Current, Graduate, Withdrawn).

***If you have questions about any of the requirements noted on this form please contact the NACCAS Compliance Coordinator responsible for the visit.***

**Documents in the Student Files**  
**For Review by the NACCAS On-Site Evaluation Team**

In preparation for the NACCAS On-Site Evaluation Team's arrival the school must ensure that all of the following documentation is available for review. If there are any elements of this list that cannot be found in student files the school must ensure they are readily accessible to the team early in the day during the visit. (See below)

1. A copy of the signed enrollment agreement and any addenda for leaves of absences, schedule changes, etc.
2. Student payment cards/ledger card
3. Admissions documentation:
  - a. Documentation of high school completion or equivalence (as applicable)
  - b. Proof of age (if required)
  - c. Interview form(s), (if applicable)
  - d. Recommendation letters, (if applicable)
  - e. Application for enrollment
  - f. Documentation of receipt of Pre-enrollment information
  - g. ATB test information (if applicable)
  - h. Immigration information (if applicable)
  - i. Any state required elements for enrollment (residency, health, etc.)
  - j. Documentation of all other items required by the school for admissions
4. Other student information as applicable, for example:
  - a. Excused absence documentation
  - b. Correspondence to/from student
  - c. Documentation of phone conversations with students
5. State Board of Cosmetology Registration Form (if applicable)
6. Documentation of academic advising session notes/Counseling referrals
7. Grades; report cards; test scores, etc. (as applicable)
8. Hourly reports/Time sheets/Time cards (if applicable)
9. Leave of absence forms
10. SAP evaluations
11. Warning and/or Probation notices, (if applicable)
12. Appeal documentation, (if applicable)
13. Documentation of withdrawal or termination (if applicable)
14. Institutional Refund calculation (if withdrawn or terminated)
15. Documentation of student complaint(s), (if applicable)
16. Documentation of graduation