

## **Attachment O: Instructions for Preliminary 2013 Annual Report**

The 2013 Preliminary Annual Report is due no later than April 30, 2014. **The 2013 Preliminary Annual Report is only required for institutions notified as such. If you have not received formal notification from NACCAS of a requirement to submit this report, then your institution is exempt from its submission. If you are unsure as to whether this report is required for your institution, please contact Alex Kim at (703) 600-7600, extension 177.** Please follow the instructions below in order to properly submit your report.

### **Part I: Complete your Cohort Grids**

Use the instructions below to complete the cohort grid included in this Attachment. (*Note: you may use an equivalent alternative in lieu of the cohort grid, so long as all information required on the cohort grid is present in your alternative.*)

**Cohort Grid #1 (Graduation):** The graduation rate is based on the number of students who were scheduled to graduate their program during 2013 – regardless of when the students actually graduated. This scheduled to graduate date comes from the contract signed at enrollment (the enrollment agreement), and is adjusted for any applicable leaves of absence, schedule changes, and/or re-enrollments. As the graduation cohort is based solely on the most recent scheduled graduation date, there may be students listed who actually graduated in 2012 or 2014.

A graduate is defined as any student who has completed all applicable graduation requirements at the institution. This means any student with a scheduled graduation date in 2013 who has graduated the program before your report is due should be counted as a graduate. Students that are still enrolled but have not yet graduated as of the date of report submittal should be marked as “Active”.

1. Fill in column one of the Annual Report Grid with an alphabetical list of all students who were scheduled to graduate in 2013 (see page 7 for a sample cohort grid). Once you have your list of students, fill in column two with the student’s contact information. Then in column three, list each student’s scheduled graduation date. This date should always be a student’s most recent contract end date. Make sure to include the following students on the Annual Report Grid:
  - **Students scheduled to graduate in 2013 who actually graduated in 2012, 2013, or 2014:** All students scheduled to graduate in 2013 will be listed on the Annual Report Grid. This includes students who actually graduated in 2012, 2013, or 2014. For example, if a student whose original enrollment agreement has him/her scheduled to graduate in 2013, but he/she actually graduated ahead of schedule in 2012 (or behind schedule in 2014) without a contract change, he/she will be listed on the Annual Report Grid.
  - **Students with amended scheduled graduation dates in 2013:** For example, if a student whose original enrollment agreement has him/her scheduled to graduate in 2012, but he/she had a leave of absence or schedule change which pushed his/her “scheduled to graduate” date into 2013, he/she will be listed on the Annual Report Grid.
  - **Students scheduled to graduate in 2013 who transferred out to an institution that is not NACCAS accredited:** If a student transferred from your institution to an institution that is not NACCAS-accredited, then he/she should continue to count in your graduation cohort as a withdrawal. Also, please note that a student who moves from your institution to another institution without receiving credit for his/her original training is not considered a transfer by NACCAS, and should continue to count in the graduation cohort of your institution as a withdrawal.
  - **Transfers in who were scheduled to graduate in 2013:** Students who transferred to your institution and were scheduled to graduate in 2013 will be listed on the Annual Report Grid.

Conversely, an institution should not list the following students on its Annual Report Grid:

- **Early withdrawals:**
  - Students in a program of less than one (1) academic year (900 hours) in length who dropped out within 15 calendar days of beginning classes will not be listed on the Annual Report Grid.
  - Students in a program of one (1) academic year (900 hours) or greater who dropped out within 30 calendar days of beginning classes will not be listed on the Annual Report Grid.

- *Note: For purposes of the NACCAS Annual Report, the date of last attendance should be the date the student is determined a withdrawal.*
  - **Deceased students:** If a student passed away during his/her training, you are not required to list them on your Cohort Grid so long as you maintain proof (e.g., death certificate, newspaper clipping, letter from family, etc.) that the student is deceased.
  - **Auditing students:** Students auditing a class or program for personal enrichment (i.e., no credit or diploma/certificate given) will not be listed on the Cohort Grid.
  - **Disabled students:** Students who fail to graduate from the program due to a medical disability should not be listed in the Annual Report Cohort Grid. The institution **must** maintain official medical documentation (e.g., a note from a doctor, etc.) proving that the disability caused the student to withdraw from the program.
  - **Students with amended contract end dates in 2012 or 2014:** For example, if a student whose original enrollment agreement has him/her scheduled to graduate in 2013 but he/she had a leave of absence or schedule change which pushed the “scheduled to graduate” date into 2014, he/she will not be listed on the Annual Report Grid.
  - **Re-Enrollments scheduled to graduate in 2014 or 2015:** If a student was originally scheduled to graduate in 2013, dropped, and subsequently re-enrolled with a new scheduled graduation date in 2014 or 2015, he/she will not be listed on the Annual Report Grid in 2013.
  - **Students who transferred out from your institution to an institution that is NACCAS-accredited:** If a student transferred from your institution to another institution that is NACCAS-accredited and remained in an equivalent program (e.g., cosmetology to cosmetology), then he/she will not be listed in your institution’s cohort grid (i.e., this student will not count in your cohort as a graduate or a withdrawal; rather he/she will not count in your graduation cohort, or in any additional portion of the annual report). However, please make sure to keep appropriate documentation supporting the transfer of such a student to an equivalent program (e.g., a request to release hours to the new school, etc.).
  - **Students who attended your institution under a training agreement:** Students who attended your institution through a contract with a third party (e.g., high school, community college, etc.) are not considered enrollees of your institution and should not be counted in the annual report.
  - **Students in a program outside of NACCAS’ scope:** Students enrolled in a program that is not required to be approved by NACCAS should not be counted in the annual report. If you are unsure of whether a program is required to be approved by NACCAS, please see [Section 1.3 of NACCAS’ Rules](#).
2. In column four of the Annual Report Grid, write “Y” for graduated or “N” for withdrawal for each student listed. Any student who has completed their required hours and all graduation requirements set forth by the institution prior to this report may be marked with a “Y.” (Make sure to list the student’s actual graduation date in column 5 as well.) Students that are currently active but have not yet completed their graduation requirements as of the date of report submittal will be marked as “Active” in column four.
  3. If a student has been marked with an “N” in column four or is listed as “active” (i.e., if the student has failed to graduate), mark columns five through ten as “N/A” (or use an equivalent substitute).

**Cohort Grid #2 (Placement):** The placement rate is based on graduates from the graduation cohort who are eligible for placement. If a student has failed to graduate from the program, please mark columns five through ten as “N/A” as NACCAS does not require placement or licensure information for non-graduates.

1. On your Annual Report Grid, identify all graduates from the graduation rate (i.e., students marked with a “Y” in column four) and note each graduate’s eligibility for placement in column six. Mark an “E” for eligible or “I” for ineligible. For ineligible graduates, the institution must indicate a reason for ineligibility in the cohort grid in column six. Please note that institutions may only exclude graduates from eligibility for placement based on the following reasons:
  - a. The graduate is deceased
  - b. The graduate is permanently disabled
  - c. The graduate is deployed for military service/duty
  - d. The graduate studied under a student visa and is ineligible for employment in the U.S.
  - e. The graduate is continuing their education at an institution under the same ownership (e.g., a graduate of your cosmetology program is now enrolled in the esthetics program of an institution under the same ownership)

*Please note that “not credentialed” (i.e., unlicensed) is not a valid exclusion/exemption for employment.*

2. For all graduates determined to be ineligible for employment, mark columns seven and eight of the cohort grid as “N/A,” as NACCAS does not require placement information for ineligible students.
3. Next, for all graduates marked as eligible in column six, determine if the graduate was employed in a field for which their training prepared them (i.e., in a position within the broader cosmetology industry). Then in column seven, note either a “Y” for placed students or “N” for non-placed students. For all students marked as placed in column seven, enter the name, address, and telephone number of each graduate’s employer in column eight. This information must be entered for all graduates counted as employed.

**Cohort Grid #3 (Licensure):** The licensure rate is based on graduates from the graduation cohort who sat for all portions of the licensure examination prior to the report deadline. Reminder: If a student has failed to graduate from the program, mark columns five through ten as “N/A,” as NACCAS does not require placement or licensure information for non-graduates.

1. In column nine of the Annual Report Grid, note all graduates who sat for all parts of the licensure examination prior to the report deadline with a “Y.” Graduates that have not sat for all required portions of the licensure examination prior to the report deadline will be noted with an “N.”
2. If a graduate has been marked with an “N” in column nine (i.e., the graduate has not sat for all parts of the examination), mark “N/A” in column ten.
3. For students who sat for all portions of their licensure examination (i.e., those students marked with a “Y” in column nine), you will need to determine which students passed all portions of the exam needed for licensure prior to the report deadline (April 30, 2014). Mark students who passed all portions prior to April 30, 2014 with a “Y” in column ten. This includes individuals who failed the exam on their first attempt, and re-took and passed all portions of the exam prior to April 30, 2014. However, if a student sat for all portions of his/her exam (i.e., he/she is marked with an “Y” in column nine) and was unable to pass all required parts prior to April 30, 2014, then he/she will be marked with an “N” in column ten. (*Note: It is very important that failing students be marked with an “N”, as opposed to an “N/A”.*)

## **Part II: Gather Backup Documentation**

After your institution has completed its Annual Report Cohort Grid, you will need to gather documentation in order to support the information in the grid. In order to properly submit documentation for all three outcome rates, please follow the instructions below.

### **Grid # 1 (Graduation):**

1. Take your Annual Report Grid and beginning with the first student, mark every 4<sup>th</sup> student listed with an asterisk.
2. For all students which fall on an asterisk in the graduation cohort (i.e., every 4<sup>th</sup> student listed in column one), the following documents are required:
  - A copy of the student's original enrollment agreement
  - Documentation showing any addendums to the student's contract, if applicable. Examples include:
    - Leave of absence forms which clearly show the revised contract end date
    - Schedule change forms which clearly show the revised contract end date
  - Documentation supporting the student's graduation information for the program, if applicable. Examples include:
    - A copy of an official (signed and/or sealed) certificate of completion or diploma
    - A copy of a report to the state oversight agency certifying the graduate's hours
    - An official (signed and/or sealed) transcript, along with proof that the student met all non-academic graduation requirements (e.g., a ledger showing the payment of the student's dues, etc.)

### **Grid # 2 (Placement):**

1. Take your Annual Report Grid, beginning with the first graduate marked with a "Y" in column seven, mark every 4<sup>th</sup> placed student with two asterisks in column seven. **Again, you are marking every 4<sup>th</sup> placed student with two asterisks, not every 4<sup>th</sup> student overall.**
2. For all students which fall on two asterisks in column seven (i.e., every fourth placed student in column seven), acceptable backup documentation must include:
  - Documentation showing the employment of each graduate, such as:
    - Employer or student follow-up surveys. Surveys must contain the student's contact manager, the student's position title, and the date the survey was completed.
    - Telephone logs of employer or graduate contacts. All phone logs must contain the following information: the date the phone verification was conducted, the individual conducting the verification, the student's position title, and the contact manager at the student's employer.
    - Professional business cards of graduates, to include the salon name, address and phone number (In order to ensure accuracy, the institution should confirm the reported information directly with the student's employer.)
    - Official flyers or advertisements naming graduates working in service facilities
    - Notes to the file from staff members certifying they saw the graduate working in XYZ salon. Such notes must include the staff member's printed name, signature, and contact information (including personal email and/or phone number). Such notes must also explicitly state where the student is working. (In order to ensure accuracy, the institution should confirm the reported information directly with the student's employer.)
    - Self-certifications from students
    - Printed copy of email or social networking correspondence from students
    - Copies of booth rental licenses showing employment

- Printed copies of text messages, provided the institution can prove that the text message originated from the student's phone number
- *Note: This list is not all-inclusive. However, please consult NACCAS before using a type of documentation that is not described above.*

For self-employed students, the institution must provide either:

- (i) A signed self-certification from the student. This self-certification should be authenticated by either (i) a notary's seal or (ii) the inclusion of some alternate verification document, such as a driver's license or an institutional student information record (ISIR). If an ISIR or driver's license are used, the student's self-certification should clearly acknowledge that such a document was present at the time when the self-certification was completed by the student.

OR

- (ii) Direct electronic correspondence from the student (e.g., email, Facebook message, etc.) attesting to his/her self-employed status

(Note: Strictly for purposes of NACCAS' annual report, students renting a booth from a salon are not considered self-employed, meaning other forms of documentation will still be acceptable in next year's annual report.)

### **Grid # 3 (Licensure):**

**If the institution's state (or testing administrator) issues examination report(s) that lists student names and exam results:**

- The institution must use such report(s) as its primary form of backup documentation. The institution must provide NACCAS with all examination reports covering the period January 1, 2013 to April 30, 2014.

**If your state (or test administrator) does not issue examination reports, or if the state / testing administrator issues examination reports without student names:**

1. First, the institution should provide NACCAS with a narrative explanation detailing how it tracks its licensure examinations.
2. Then in column nine, mark every 4<sup>th</sup> student who sat for the examination with an pound / hash symbol (#) (i.e., every 4<sup>th</sup> "Y" in column nine will be marked with a hash)
3. Then, for all students marked with a hash, the institution should provide the following documentation:
  - Documentation verifying that the student sat for the licensure examination (e.g., phone log, survey from student, etc.)
  - If the student has passed the exam, proof of licensure (e.g., copy of the student's license, print-off from an online license lookup, phone log which confirms the student is licensed, etc.)

Note: If an institution is located in a state that does not issue examinations reports, **it must have a tracking methodology that accounts for both passing and failing students.** An institution that relies solely on an online license verification will only be aware of its passing students. Accordingly, while an online license verification may be used as a resource, all institutions must make a good-faith effort to track licensure for students who do not appear on the online license verification.

### **Part III: Submit Report to NACCAS**

Mail the cohort grids (or equivalent reports) and all required backup documentation to NACCAS via traceable means in a parcel clearly marked for delivery to:

**NACCAS  
Attention: Alex Kim  
4401 Ford Avenue – Suite 1300  
Alexandria, VA 22302**

Please ensure your report is clearly organized, **bound in a three-ring binder**, and tabbed. The report must be received by NACCAS no later than April 30, 2014. Do not include original documents (e.g., original enrollment agreements) in your submission. Do retain a copy of your submission and copies of your courier receipt or other tracking information for your files. Only one copy of this report is required. NACCAS staff will review your documents and may request additional backup documentation. The Commission will review the record of the referenced institution with respect to this monitoring directive and may take further action. If you have any questions regarding this process or your submission, do not hesitate to contact Alex Kim at (703) 600-7600, extension 177 or via email at [akim@naccas.org](mailto:akim@naccas.org).

1. Student Name	2. Student Contact Info (Phone # or Email)	3. Date Scheduled to Graduate	4. Actually Graduated Program? (Y/N)	5. Date Student Graduated Program (if applicable)	6. Eligible for Placement? * E=Eligible; I=Ineligible	7. Placed? (Y/N)	8. Employer Info (Name, Address, Phone #), if Student is Placed	9. Sat for All Parts of Licensure Exam? (Y/N)	10. Passed All Parts of Exam? (Y/N)

*\*If a student has been declared ineligible for placement, please enter the reason for their ineligibility in parenthesis in column #6*