

Analytic Self-Evaluation Report (ASER) (Dale Carnegie & Associates, Inc. and Franchises)

PREPARING AN ASER/BASER - INTRODUCTION

These guidelines are provided to assist Dale Carnegie & Associates, Inc. and its Franchises offering avocational/professional development continuing education courses and programs to prepare an Analytic Self-Evaluation Report (ASER) for the main campus and, if applicable, a Branch Analytic Self-Evaluation Report (BASER) for any branch campus, within the context of ACCET Document 2 – Standards for Accreditation, and applicable policies. Refer to ACCET Document 31 – Definitions for definitions of main and branch campus. Although the instructions that follow specifically address preparation of the ASER, they apply identically to the BASER.

The ACCET Standards for Accreditation are articulated in broad terms in order to accommodate the necessary balance of structure and good practice, while recognizing the importance of flexibility for innovation. ACCET standards, policies, and procedures serve a number of purposes and functions, in the context of preparing an ASER, including the provision of:

- valid criteria by which Dale Carnegie & Associates, Inc. and franchises are evaluated; and
- reliable methodologies and practices to assess and enhance the quality of education and training provided by the institution and to assure systematic and effective implementation of operational functions through an ongoing quality assurance and evaluation process.

DALE CARNEGIE & ASSOCIATES, INC. AND FRANCHISES

Avocational programs and/or courses designed exclusively for personal and/or professional development are provided by Dale Carnegie & Associates, Inc. (DC & A) and entities affiliated with and approved by DC & A to offer Dale Carnegie® training.

ASER DEVELOPMENT

The ASER serves as a structured resume on the institution's mission, management, coursework, admissions, academic policies, and quality measures, along with plans for continued improvement and growth. As the institution formulates responses to the questions and statements under each standard in the ASER and, if applicable, the BASER and/or templates, it will conduct a critical self-evaluation of its policies, procedures, and practices, which will be subsequently reviewed during the on-site visit to evaluate the institution's systematic and effective implementation. Therefore, it is likely that some revision to policies, procedures, and/or practices will be made during the ASER development process, with self-analysis and improvement a positive outcome of the accreditation process. Additionally, the development of the ASER is designed to be a team effort, requiring a high level of commitment, input, and interaction across a broad cross-section of staff and faculty. Questions, ideas, and proposals raised in the course of preparing the ASER provide opportunities for team development.

ASER FORMAT AND CONSTRUCTION

There are eight major sections of the ASER which correspond to the eight broad categories of ACCET Standards. By way of example, the first category is I - Mission, with the following specific standards: I-A. Mission, I-B. Goals, and I-C. Planning. Under each standard is a set of questions/statements requiring a response from the institution. The institution must provide a written narrative in the space provided and, if applicable, attach any required supporting documentation. An error message will be generated if a questions/statement is left blank, and no response is provided. If a specific standard, in whole or in part, is not applicable to the institution, indicate such and explain the reason within the appropriate context. For example, all institutions must address Standard V-B, Externship/Internship; yet not all institutions offer programs with an externship/internship component. In that instance, the institution will respond by stating that this standard is not applicable, because none of its programs have externships/internships.

The following is an example of the first question under Standard II-A, Governance in which a narrative response and the attachment of supporting documentation are required:

STANDARD II – MANAGEMENT

The institution is capably and responsibly managed.

A. Governance: The institution has a governing board or senior management team that is responsible for developing and maintaining an effective framework of written strategies and policies. This management structure ensures the integrity and effectiveness of the institution and its compliance with statutory, regulatory, and accreditation requirements.

ASER Questions/Statements:

1. What is the legal nature of the entity under which the institution operates? Attach a copy of relevant institutional documents, such as certificates, charters, articles of incorporation, or partnership agreements. List all owners of the institution, indicating percentages of ownership held by each. If the institution is governed by a board of directors, attach a list of current board members. In the case of a publicly traded corporation, attach a copy of the latest 10K report provided pursuant to SEC regulations.

Institution's Response:

XYZ School/Center is a subchapter S corporation, which was incorporated in the State of XXX on May 5, 1982. The stockholders include XXX – 49% and XXX – 51%.

Supporting Documentation Attached:

Articles of incorporation and ownership chart with ownership breakdown.

ANALYTIC SELF-EVALUATION ANALYSIS (ASER)

STANDARD I – MISSION

The institution has a mission that is compatible with the ACCET mission, scope, and standards.

- A. Mission: The institution clearly states its mission and makes it public. The mission is consistent with the Principles of Ethics for ACCET Institutions; thereby providing a definitive basis upon which to deliver and assess the education and training programs. The education and training provided are consistent with the institution's mission and are documented by either a needs assessment or market experience.**

Specific Criteria: Franchises support the Global Mission established by Dale Carnegie & Associates, Inc. The local Center/Franchise should indicate how its individual mission is supportive of the Dale Carnegie Global Mission.

ASER Questions/Statements:

1. Provide the franchise's mission statement. When was the mission statement last reviewed for clarity and continued relevance?
2. Describe how the franchise's mission is consistent with the Principles of Ethics for ACCET Accredited Institutions.
3. Describe how the franchise's mission statement is communicated to participants, trainers, and the public.
4. Describe how the franchise measures its success in meeting its stated mission. Indicate the measureable factors used to evaluate and document success.
5. Identify the franchise's target population. Has that population changed in the past 24 months? If so, describe what impact the population change has had on the franchise's mission.
6. List enrollment by program for: (a) each of the previous two fiscal years; (b) the current fiscal year to date; and (c) projections for the next fiscal year.
7. Provide a needs analysis that supports the franchise offering its programs at the enrollment levels identified above. Include documented evidence of the ongoing need for the programs, such as continued market demand, positive participant outcomes, and a demonstrated history of successful training. Attach supporting documentation, as applicable.

- B. Goals: Broad institutional goals are clearly stated, support the mission, and are understood at all levels of the organization.**

ASER Questions/Statements:

1. Identify the broad goals of the franchise which: (a) support the mission and (b) encompass key operational areas such as finances, enrollment, education/training, participant services, and participant outcomes.
2. Describe the process by which franchise's goals were developed, who participated in their development, and how they are periodically re-evaluated for continued relevance to the franchise's mission.
3. Identify how the franchise ensures that its goals are understood at all levels of the organization. Include how, when, and where they are communicated, published, and/or posted.

- C. Planning: The institution has sound, written one-year and longer-range plans that encompass both the educational and business objectives of the institution. The plans support the mission, facilitate the accomplishment of the broad institutional goals, and are updated at least annually. The plans include specific and measurable objectives, with corresponding operational strategies, projected time frames, required resources, and method(s) for subsequent evaluation of each objective.**

ASER Questions/Statements:

1. Attach a copy of the franchise's current one-year and long-term planning documents that identify specific, measurable objectives in areas of education and business. For each specific and measurable objective, include: (a) the operational strategies to achieve the objective; (b) projected time frames for implementation, completion, and evaluation; (c) estimated financial and personnel resources; and (d) method(s) for subsequent evaluation of the objective.
2. Describe how the operational objectives of the plans directly relate to one or more of the broad institutional goals.
3. Describe the process and the schedule by which the plans are developed and updated.
4. Describe how the plans are implemented and the results monitored to facilitate quality education and training. Provide a brief update on the franchise's status in achieving the specific objectives identified in the one-year and long-range plans.

STANDARD II – MANAGEMENT

The institution is capably and responsibly managed.

- A. Governance:** The institution has a governing board and/or senior management team that is responsible for developing and maintaining an effective framework of written strategies and policies. This management structure ensures the integrity and effectiveness of the institution and its compliance with statutory, regulatory, and accreditation requirements.

Specific Criteria: Management operates in compliance with appropriate legal, regulatory, statutory, and contractual requirements, including Dale Carnegie & Associates, Inc. contractual requirements (e.g., enrollment reporting, remittance reporting, program evaluation, etc.).

ASER Questions/Statements:

1. What is the legal nature of the entity under which the franchise operates? Attach a copy of relevant franchise documents, such as certificates, charters, articles of incorporation, or partnership agreements, specifically including the Franchise Agreement, as applicable. List all owners of the franchise, indicating percentages of ownership held by each.
2. Describe any external authorities that provide oversight of or guidance to the operation of the franchise (e.g., state boards, licensing agencies or companies, advisory boards, and/or consultants). Provide copies of any relevant documents.
3. Identify any other name under which the franchise has operated, been accredited, or been licensed within the past ten year, and indicate applicable time frames.
4. List any other organizations that currently accredit the franchise and identify the type of accreditation granted (e.g. programmatic, institutional, etc.). Attach a copy of the current accreditation grant letter/certificate.
5. Describe the extent of the services provided to the franchise by outside legal counsel, a CPA, and/or other consultants, as applicable.
6. Identify the positions that comprise the senior management team at the franchise. Describe the individual responsibilities, interaction, and reporting relationships within senior management. What is the relationship of senior management to the ownership/board of directors?
7. Describe the interaction and reporting requirements between senior management and Dale Carnegie & Associates, Inc.

8. Describe the process by which franchise's policies are developed and revised. If applicable, identify the role played by corporate boards, advisory groups, and/or outside consultants in policy development.
9. Who ensures compliance with appropriate regulatory, statutory, contractual, and accreditation requirements, and by what process?

B. Operational Management: Operational management is responsible for systematically and effectively implementing the strategies and policies of senior management within an organizational framework that is clearly defined, understood, and effective. Written policies and procedures guide the day-to-day operations of the institution.

ASER Questions/Statements:

1. Attach an organizational chart that: (a) identifies the names and titles of all operational personnel (owners, managers, staff, and trainers) at the franchise; and (b) clearly delineates the relationships between them.
2. List key operational staff positions, describing the primary functions, in accordance with the Position Results Description (PRD), and reporting relationships of each to senior management, as appropriate to the size of the organization.
3. Describe how the franchise's policies and procedures are made available to trainers and staff. When and where are new and revised policies and procedures communicated, published and/or posted? How are they organized? If policies are contained in an operational manual(s), attach the table of contents.
4. Provide a detailed narrative describing how operational management monitors the franchise and its processes to ensure the systematic and effective implementation of the franchise's written policies and procedures.
5. Describe the methods by which trainers/staff provide feedback regarding the effectiveness of policies and procedures. Provide an example of improvements made to the franchise and its programs as a result of such feedback.
6. As applicable, describe how the franchise manages any additional locations (branches, auxiliary classrooms, and/or classroom extensions) approved by ACCET.

C. Personnel Management: Management develops, implements, and maintains written policies and procedures for the systematic and effective recruitment, selection, hiring, and retention of all personnel. Management provides orientation, supervision, evaluation, and training and development of its employees to ensure that qualified and capable personnel, at appropriate staffing levels, are effectively utilized.

ASER Questions/Statements:

1. Attach a copy of the franchise's written personnel policies and procedures for: (a) recruitment, selection, and orientation of new personnel; (b) supervision; (c) employee performance evaluation; and (d) professional growth and development.
2. Describe the process by which the franchise monitors the performance of trainers and staff through formal evaluation, at least annually. How often are employee performance evaluations conducted, by whom, and how are they documented in personnel files? Attach a performance review schedule for all employees for the last 12 months, indicating when each was last evaluated.
3. In the institution's personnel policy, how are the following categories of personnel (faculty and staff) defined: (a) full-time, (b) part-time, and (c) contractual. Attach ACCET Document 6 - Faculty/Administrative Personnel Form completed in its entirety or Section I of ACCET Document 6 along with a resume for each employee (faculty and staff) of the franchise.
4. Provide the turnover rates during the past twelve months for: (a) trainers and (b) staff. Describe the causes and impact of this turnover. Identify the actions taken by management to optimize employee retention.
5. Describe how personnel policies and procedures are communicated to staff. Attach the table of contents of the employee handbook or manual, whether it exists in paper or electronic form.
6. Who is responsible for creating, maintaining, and periodically auditing personnel files? Identify the required documentation to be included in an employee personnel file. Attach a completed checklist for a sample personnel file.

D. Records: The institution has an organized record-keeping system that ensures all records are maintained in an accurate, orderly, and up-to-date manner. The record-keeping system facilitates ready access and review of those records by appropriate parties. All records are protected from unauthorized access and undue risk of loss. Employees and students have appropriate access to information contained in their files. Records are maintained for a period of time consistent with applicable statutes, regulations, and sound business and educational practices.

ASER Questions/Statements:

1. Describe the system(s) by which records are stored and secured to ensure ready access and review, while protecting them from unauthorized access and undue risk of loss. Attach the franchise's policy for ensuring confidentiality of participant records.

2. Describe how the franchise ensures that participant records (e.g. academic, financial, etc.) are maintained in an accurate, orderly, and up-to-date manner. Identify who is responsible for creating, maintaining, and periodically auditing these records.
3. Indicate which types of information are maintained electronically vs in hard-copy, including any that are duplicated in both forms, relative to the following types of information, as applicable: (a) admissions, (b) participant accounts, (c) participant grades/transcripts, and (d) attendance.
4. Describe the procedures for backing up electronic records, including the media type, schedule, and the location of the off-premise, back-up copy.
5. Attach a completed checklist for a sample participant record. If multiple files are maintained for each participant, attach a separate file checklist for each.
6. Attach a copy of the franchise's written policy on the retention of participant records, citing applicable statutes, regulations, and/or sound business and education practices.
7. Describe the franchise's policy to ensure the rights of participants and trainers to access and review their records. How are these policies communicated to participants and staff?

E. Communications: Management ensures regular and effective communication among appropriate members of the institution on pertinent aspects of its operations, including the delivery of quality education and training services. To maintain operational effectiveness, periodic meetings with employees are conducted and appropriate documentation is maintained on significant issues, consistent with the size and purpose of the institution.

ASER Questions/Statements:

1. Describe how information is shared within the franchise and identify the most common modes of communication (e.g. meetings, email, memo, etc). If the institution is part of a larger organization, identify how information is communicated with the corporate office and/or other campuses.
2. Describe the types of meetings that are regularly scheduled with management, staff, and trainers. Identify the frequency of these meetings and the primary topics discussed. Attach sample written documentation of these meetings, including meeting minutes.

F. Professional Relationships: The institution establishes relationships with other organizations within the education/training and employer/industry network. These relationships are maintained, utilized, and documented for the purpose of enhancing the quality of the education, training, and student services.

ASER Questions/Statements:

1. List the professional relationships that the franchise maintains with: (a) higher education institutions; (b) other franchises and organizations within the Dale Carnegie organization; (c) professional and trade associations; (d) industry/employer networks; (e) advisory boards; (f) government agencies; and/or (g) other organizations/agencies. Include a brief description of the nature of the relationship with each entity listed.
2. Provide examples of how these professional relationships enhance the quality and effectiveness of the institution's education, training, and student services.

STANDARD III – FINANCES

The institution is fiscally sound and demonstrates ethical financial practices.

- A. Stability: The institution demonstrates a record of responsible financial management with resources sufficient to provide quality education, training, and student services and to complete the instruction of all enrolled participants. Financial reports provide clear evidence of financial stability and sound fiscal practices**

**The overall financial stability of the institution will be determined by the Accrediting Commission following a review and assessment of the institution's financial statements by the Commission's Financial Review Committee in accordance with ACCET Document 27 – Guidelines for Filing Financial Reports.*

- B. Financial Procedures: The institution assesses its finances at adequate intervals, not less than quarterly. Written policies and procedures exist for proper financial controls and supervision of financial management staff. Tuition charges are applied fairly and consistently; receipt of tuition payments and other monies is properly recorded and tracked. Cancellation and refund policies are written, fair and equitable; are consistently administered; and comply with statutory, regulatory, and accreditation requirements. Qualified and capable individuals manage and evaluate the effectiveness of the financial operations and practices.**

ASER Questions/Statements:

1. Describe how the franchise monitors, analyzes, and controls its financial operations including: (a) the controls implemented by the franchise to ensure that sound and ethical financial practices are followed and (b) the individuals who are responsible for financial monitoring and the functions and authority of each. Attach a copy of the written policies for proper financial controls and supervision of financial management staff.
2. How frequently does the franchise review and assess its finances? Who participates in the development and final approval of the budget?

3. Describe all third-party contracts that provide consultative or administrative services affecting the financial status of the organization (e.g. accounting services, financial aid processors, etc.).
 4. Are the tuition, fees, and other charges consistent for all participants who enroll at the same time? Describe any tuition discounts or waivers provided by the franchise under contractual arrangements, within the past twelve months.
 5. Describe the process for receiving and depositing payments as well as providing proof of payment. Do financial records clearly identify: (a) the charges for tuition and fees; (b) the amounts and dates of each payment; and (c) the balance-after each payment? Attach a copy of the policy and procedures governing the documentation of payments. Also attach an actual sample of a completed ledger card and/or accounts receivable (A/R) record for a participant, company, or contract. Are these records maintained electronically and/or in hardcopy?
 6. Attach a copy of the franchise's cancellation and refund policies, which must comply with ACCET Document 31 – Cancellation and Refund Policy, and, if required, applicable state regulations. If contractual agreements exist with companies or other sponsoring organizations, describe the impact of such agreements on these policies, if any.
 7. Attach a list of all drops/withdrawals that have occurred within the past six months. During the past six months, were all required refunds made within either forty-five (45) days from the documented date of determination or cancellation or, if applicable, the shorter time period required by state regulation? If not, provide an explanation for each late refund, including the remedial actions taken to ensure timely future processing.
 8. Attach a copy of the franchise's written procedure for processing refunds. Also attach a sample of an actual completed refund calculation worksheet for a recently dropped/withdrawn participant.
- C. Financial Assistance/Scholarships: Institutions administering any student assistance programs, including federal and state financial aid programs as well as scholarships, ensure that these programs are responsibly managed, governed by written policies and procedures, and in full compliance with relevant statutes and regulations. All student financial assistance is awarded in a fair and equitable manner.**

Specific Criteria: Centers/Franchises who offer scholarships capably administer, accurately record and document, and appropriately implement those scholarship programs.

ASER Questions/Statements:

1. Identify any scholarships offered by or at the franchise. For each scholarship program, provide a description that includes: (a) the terms and conditions of awards; (b) source of

funding; (c) application procedures and deadlines; (d) criteria used to select award recipients, (e) number of awards granted; and (f) minimum and maximum number of awards granted.

STANDARD IV – CURRICULA

The institution's curricular design, materials, and outcomes measurements follow sound educational practices.

A. Educational Goals and Objectives: The institution's programs and courses have appropriate educational goals and objectives. The curricular content and learning experiences are preplanned and present a sound, systematic, and sequential educational methodology. Sufficient and appropriate knowledge and skill elements are included to ensure adequate preparation for the expected performance outcomes in the specific program or course for which the students enroll.

Specific Criteria: Dale Carnegie & Associates, Inc. has developed and implemented comprehensive and organized curricula. All aspects of the formal curricula are provided in the ASER prepared by Dale Carnegie & Associates, Inc. and are evaluated in the normal course during that organization's on-site review.

ASER Questions/Statements:

1. List all programs offered by the franchise, along with the corresponding educational objectives of each program.
2. List the specific, measurable performance objectives – i.e., what knowledge and skill levels are expected of students at specified points throughout the program and upon completion – that have been established as components of the curriculum of each program/course in order to fulfill the purpose of the program/course.
3. How does the franchise communicate performance objectives for each course to participants?
4. Describe how the franchise ensures the content and related learning experiences of each program are appropriately organized and sequenced.

B. Program/Instructional Materials: Program materials, including syllabi, lesson plans, instructional guides, and texts demonstrate the appropriate scope, sequence, and depth of each program or course in relation to the stated goals and objectives. Instructional materials, including supplementary textbooks, software, learning activities, visual aids, electronic links, and other teaching tools support the goals and objectives. All materials are up-to-date, readily available, and facilitate positive learning outcomes.

Specific Criteria: Dale Carnegie & Associates, Inc. has developed and implemented comprehensive and organized curricula, including complete sets of program materials, such as outlines and session syllabi. All aspects of the formal curricula are provided in the ASER prepared by Dale Carnegie & Associates, Inc. and are evaluated in the normal course during that organization's on-site review.

Franchises will need to demonstrate at the time of their on-site review that the curricula are consistent with those required by Dale Carnegie & Associates, Inc. and are presented appropriately to ensure adequate instructional delivery for the attainment of students' personal goals.

Franchises do not need to address the following questions/statements as they relate to licensed programs or courses; they need only be addressed by Dale Carnegie and Associates, Inc. when completing this document.

ASER Questions/Statements:

1. Describe the process for developing syllabi and lesson plans for the franchise's programs and/or courses. How does the franchise ensure consistency among trainer-developed syllabi and lesson plans? When does the franchise distribute syllabi and communicate the performance objectives of each course to participants?
2. Attach copies of a representative session syllabus from each of the franchise's core courses.
3. Attach a list of primary textbooks, participant guides, software, and courseware utilized for each program and/or course. Describe how these support the curricular objectives and educational goals. Include copyright or release dates, as applicable. If only licensed courseware is utilized by the franchise, provide a narrative description of the terms and conditions of such agreement(s) as they relate to specific courses/courseware.
4. Describe the process and the frequency with which the franchise selects primary and supplementary texts, software, and other courseware to ensure that all instructional materials effectively support the curricular objectives and educational goals. Attach the written policies and procedures that ensure that these materials are up to date and readily available on a consistent basis.

C. Performance Measurements: Performance measurements are written and are periodically evaluated and updated to ensure instructional effectiveness. The institution has a sound, written assessment system that contains a set of defined elements, such as grading scale, weighting factors, tests, quizzes, reports, projects, attendance, and participation, that are appropriately related to the performance objectives of the program or course.

ASER Questions/Statements:

1. Describe the overall assessment systems that have been developed to measure participant attainment of specified performance objectives for each program and/or course. Who measures participant performance? How often does the measurement occur?
2. Describe how the franchise ensures that all trainers consistently adhere to the franchise's assessment system and grading policies.
3. Describe the processes by which written evaluation/testing instruments are: (a) developed or selected and (b) periodically evaluated for continued validity relative to the stated educational goals. Indicate the extent to which these evaluation/testing instruments are standardized.
4. Identify how the franchise ensures that participants are aware of and understand the assessment system by which they will be evaluated.

D. Curriculum Review/Revision: The institution uses systematic and effective procedures to continuously monitor and improve the curriculum. The written procedures include soliciting feedback from relevant constituencies, such as faculty, students, graduates, employers, and advisory/certification boards, as well as analysis of completion, and, if applicable, placement results. The procedures focus on a comprehensive review of the curriculum as it relates to the expected learning outcomes.

Specific Criteria: Curricular content is continually updated to reflect current knowledge and practices; all curricular revisions are conducted entirely by Dale Carnegie & Associates, Inc. and are beyond the control and authority of any Franchise.

Franchises do not need to address the following questions/statements as they relate to licensed programs or courses; they need only be addressed by Dale Carnegie and Associates, Inc. when completing this document.

ASER Questions/Statements:

1. Attach a copy of the written policies and procedures for curricular review. Describe the curriculum review and revision process including: (a) the schedule for reviewing specific programs; (b) positions with primary responsibility for the review and revision process; and (c) positions providing management oversight of the process.
2. As part of curriculum review and revision, describe the process by which performance objectives are regularly evaluated and updated in response to changing industry standards and/or requirements.

3. Describe how any external regulations, guidelines, and/or requirements govern changes in the content of the franchise's programs and/or courses. Attach a copy of these regulations, guidelines, and/or requirements.
4. How does the franchise stay current on issues relating to pedagogical theory and methodology within the industry/profession?
5. Provide evidence that the institution has examined current methodologies, theories, and materials as part of its curricular review process. Describe any changes made to the institution's curricula as a result of this review.
6. Describe how the curriculum review process considers feedback solicited from trainers, participants, employers, sponsors, and advisory boards, as applicable. Describe how and by whom this feedback is utilized, with specific reference to curriculum revision, curriculum design, content level, and curricular objectives. Attach documentation to evidence that solicitation and review of feedback occur on a regular basis, in accordance with the franchise's written policy.

E. Certification and Licensing: When the purpose of instruction is to prepare students to meet the standards for licensing, certification, registration, or examination requirements, the curriculum includes appropriate preparation and materials to meet the requirements for such credentials. The institution records and tracks the pass rates of graduates and uses the results to measure and improve the quality of the educational programs offered.

Specific Criteria: The programs licensed by Dale Carnegie & Associates, Inc. do not require or lead to licensure, certification, registration, or examination. Therefore, this standard is not applicable to Dale Carnegie franchises presenting only the licensed programs or courses and using this document for ASER preparation.

STANDARD V – INSTRUCTIONAL DELIVERY

The institution's curricular design, materials, and outcomes measurements follow sound educational practices.

A. Instructional Methods: Instructional methods encourage active and motivated responses from participants. Written policies and procedures are in place to ensure that the curricula are followed and that there is consistency of application by all instructional staff. The instructional methodology is consistent with current training industry standards and appropriate to the educational goals and curricular objectives, facilitates learning, and serves the individual learning needs and objectives of participants. Instructional methods provide encouragement, motivation, challenges, and learning opportunities for all participants, taking into account different backgrounds, learning abilities and styles, and prior levels of achievement.

ASER Questions/Statements:

1. Describe the franchise's preferred/prescribed instructional methodology utilized for each program and/or course. Include specific reference to how such methods actively involve participants in learning. How does input obtained from professional organizations and/or other outside sources inform and influence the choice of instructional methodology?
2. How does the franchise advise trainers of the franchise's preferred/prescribed instructional methodology? What processes are in place to ensure a reasonable degree of consistency in methodology among trainers, in accordance with policy?
3. Describe how the preferred/prescribed methodologies are: (a) supported by the relevant instructional materials; (b) suitable for the attainment of the educational objectives in each program and/or course; and (c) appropriate for the needs of the population served, including their various learning modalities (e.g., aural, visual, kinesthetic, experiential, etc.)
4. What guidance is provided to instructional staff on identifying and accommodating individual differences in the classroom to encourage and challenge participants to achieve their educational objectives?
5. Describe how the franchise ensures that its methods address both challenged and advanced participants and provide the assistance needed by those participants to enhance their learning experience.
6. What is the franchise's established trainer-to-participant ratio for the delivery of core Dale Carnegie programs? Indicate the rationale for determining the established ratio.
7. How are programs tailored and customized for clients?

B. Externships/Internships: When required as a part of a program, an externship/internship or other training-related work experience is based on a preplanned outline of the specific knowledge, skills, and experience to be acquired. Written policies and procedures for the supervision and evaluation of externships/internships are established and followed by the institution to ensure consistency and effectiveness. The institution provides a sufficient number of sites to ensure appropriate and timely learning experiences in its externship/internship program.

Specific Criteria: The programs licensed by Dale Carnegie & Associates, Inc., do not contain an externship/internship component. Therefore, this standard is not applicable to Dale Carnegie franchises presenting only the licensed programs or courses.

C. Equipment, Supplies, and Learning Resources: Adequate, appropriate, and functional equipment, supplies, furnishings, and learning resources required to effectively provide the education and training services are readily available for instructor and participant use.

1. Describe any advanced technology or equipment used to teach the Dale Carnegie curricula (provide name, model, and year of purchase or lease) and explain how it is incorporated into the instructional methodology(ies).
2. Identify the maximum participant-to-equipment ratio for different types of core, training-related equipment for each program and/or course. Explain how this is consistent with sound educational practice.
3. Attach a copy of the written policy and procedures designed to ensure that adequate quantities of equipment/supplies are maintained and equipment is upgraded and/or replaced on a regular basis. How does the institution ensure the systematic and effective implementation of this policy to provide adequate equipment/supplies and equipment that is up to date and in working order? Identify the personnel responsible for the procurement and distribution of equipment and supplies.
4. Describe the scope and availability of learning resources (e.g. library, computer laboratory, internet access). How are these resources utilized by participants and/or faculty to enhance the educational and training services?

D. Facilities: The facility is appropriate for the education, training, and student services offered. Instruction is conducted in a safe, accessible, sanitary, and comfortable environment, which is free from distraction. The facility meets all applicable local, state, and federal requirements.

1. Identify whether the facility is owned or leased/rented. Provide a description of the facility and attach a copy of the floor plan which clearly identifies square footage and the function of each space (e.g. classrooms, labs, library, offices, storage).
2. If the franchise has approved auxiliary classroom(s) or classroom extension(s) overseen by the main campus, indicate the address of each and provide a floor plan that clearly identifies square footage and the function of each space. Include a list of programs/courses offered and staff/trainers assigned to each location.
3. Identify whether the franchise utilizes (on a temporary, intermittent basis) additional training facilities, such as contracted hotel space or company-provided space. If so, identify the date, location, program and/or course offered, and the number of participants served at these facilities. NOTE: This section does not apply to additional locations classified by ACCET as branches, auxiliary classrooms, or classroom extensions.

4. Describe any measures taken by the franchise to ensure the security and safety of participants. Attach documentation of the most recent fire inspection, certificate of occupancy, health department certificate, etc., as applicable.

STANDARD VI – INSTRUCTIONAL PERSONNEL

The institution ensures that qualified instructors, under professional and capable direction, effectively deliver educational and training services.

- A. Qualifications of Instructional Personnel: Instructional personnel possess the appropriate combination of educational credential(s), specialized training and/or certification, work experience, and demonstrated teaching and classroom management skills, which qualifies them for their training assignments. Instructional personnel meet all relevant accreditation, federal, state, local, and/or industry-specific requirements.**

Specific Criteria: Dale Carnegie trainers have at least a bachelor's degree from an accredited institution. Trainers for each program have successfully completed the training regimen prescribed by Dale Carnegie & Associates, Inc., Global Support Services and maintain appropriate certifications for all programs taught.

1. Identify the minimum qualifications and any other criteria utilized by the franchise to select and hire instructional personnel, including: (a) educational credential(s); (b) specialized training; (c) work experience; and (d) demonstrated teaching and classroom management skills. Where are these minimum qualifications and other selection criteria for instructional personnel published, and/or posted?
- B. Supervision of Instruction: Individuals with relevant education and experience in instructional delivery and management supervise instructional personnel. Supervisors of instructional personnel demonstrate good practice in the evaluation and direction of instructors. Regular classroom observations, along with student, peer, and supervisory feedback are documented and effectively utilized to enhance the quality of instruction.**
1. Attach a copy of the franchise's policy on the supervision of trainers, including classroom observations. Also attach a copy of the evaluation form utilized to document classroom observations.
 2. Identify those responsible for the supervision of instruction. Attach the job description for the supervisory position(s) which identifies: (a) the specific instructional supervisory duties and (b) the minimum qualifications for the position(s) in terms of relevant education and experience in instructional delivery and management. For those currently serving in the supervisory position(s), describe each individual's qualifications, including all relevant education and experience.

3. Describe the process for the supervision and regular evaluation of trainers. As part of this process, identify how classroom observations are regularly conducted including: (a) who conducts the classroom observations; (b) how often the observations occur; (c) how feedback from the observations is recorded and shared with the trainers; and (d) what steps are taken to ensure that trainers implement the suggestions for improvement. Attach a copy of the franchise's policy on the supervision of trainers, including classroom observations. Also attach a copy of the evaluation form utilized to document classroom observations.
4. How are the concerns, suggestions, and other feedback from participant, graduate, and employer/sponsor evaluations communicated to trainers?
5. Describe whether personnel changes (terminations, promotions, training) were made as a result of trainer evaluations.
6. What is the franchise's process for arranging for substitute trainers when there is a need? Who is assigned this responsibility? Does the franchise maintain a current list of substitute trainers who are readily available?

C. Instructor Orientation and Training: The institution develops and implements a written policy for the effective orientation and training of instructional personnel to ensure a consistent, high level of instruction. The institution also develops and implements an effective written policy for the ongoing professional development of instructional personnel that is systematically implemented, monitored, and documented.

Specific Criteria: Trainers participate in continual professional development. In-service training is provided regularly for instructional personnel. A policy for ongoing professional development and education exists.

1. Provide copies of the written policies and procedures regarding the training/certification of new trainers. Who is responsible for their training/certification? What documentation is maintained to help ensure that the training/certification process is consistently and effectively implemented?
2. List the materials made available to trainers to orient them to: (a) their responsibilities and (b) the franchise's methodologies, curricula, equipment, policies and procedures.
3. Describe in-service or refresher training provided by the franchise for its trainers. Attach a copy of sample documented evidence of in-service/refresher training (e.g. attendance sign-in sheets, meeting minutes, meeting minutes). Also attach a schedule of planned in-service/refresher training sessions for: (a) the past 12 months and (b) the future 12 months.

4. Who coordinates professional development opportunities, and how does that individual monitor the effectiveness of the training provided?
5. List the external workshops, seminars, and/or conferences that trainers attended during the last 12 months. Are the costs of these events paid by the franchise?
6. Do the personnel files of trainers contain evidence of: (a) licensure and/or certifications; (b) continuing education; and/or (c) other professional development. Attach sample documentation. Are professional development experiences or continuing education credits required by the state or professional certification bodies to maintain licensing/certification? If so, describe.

STANDARD VII – ADMISSIONS AND STUDENT SERVICES

The institution recruits and enrolls only qualified participants who can reasonably be expected to benefit from the education and training services and provides student services appropriate to their needs.

A. Recruitment: Informational and promotional materials, advertising, and representations made by or on behalf of the institution for recruiting purposes make only justifiable and provable claims regarding the courses, programs, costs, location, instructional personnel, student services, outcomes, and other benefits. All communication with prospective students is ethical and honest. The institution does not state or imply that employment, occupational advancement, and/or certification and licensing are guaranteed.

1. Describe how the franchise advertises and promotes its education/training, to include all means and media utilized (e.g yellow pages, newspapers, radio, TV, direct mail, brochures, and website). Identify the franchise's website URL. Attach a copy of sample ads and promotional brochures.
2. Do all promotional materials advertise the franchise's programs/courses using only program/course titles developed by Dale Carnegie & Associates, Inc. and approved by ACCET?
3. If the franchise is ACCET accredited, describe how the franchise's accredited status is represented in promotional materials.
4. Who is responsible for coordinating and monitoring the advertising campaign for the franchise? Attach written policies and procedures implemented to ensure that informational and promotional materials make only justifiable and provable claims in compliance with ACCET Document 30 – Policies for Recruitment and Advertising/Promotional Practices, and any applicable state or federal regulations.

5. Are outside recruiters used to solicit participants? If so, provide a copy of the agreement or contract between the franchise and the recruiters; and include the policies and procedures that ensure that only justifiable and provable claims are made.

B. Enrollment: The institution's written policy for enrollment is clearly stated, defined, and in compliance with statutory, regulatory, and accreditation requirements. Reliable and regular means are utilized to ensure that, prior to acceptance, all applicants are able and qualified to benefit from the education and training services. The enrollment process is preplanned, effective, and regularly monitored by the institution to ensure its integrity.

The institution provides in its written enrollment agreement or contract full disclosure of the rights, obligations, and responsibilities of all parties, including (1) all costs stated in clear and explicit language, and (2) cancellation and refund policies that comply with statutory, regulatory, and accreditation requirements. The enrollment agreement or contract is furnished to appropriate parties before any payment or obligation is made.

Specific Criteria: Policy provisions on enrollment agreements and applications are fair and equitable. All agreements/applications clearly specify the obligations of both parties and are furnished to applicants before any payment is made. Objectives and purposes of instruction are disclosed to prospective applicants prior to enrollment. Procedures and practices, consistent with criteria prescribed by Dale Carnegie & Associates, Inc. are documented and followed to ensure that franchises only enroll participants able to merit and benefit from the educational activities offered.

1. Describe the admissions process including the typical chronology of events for: (a) individual enrollments and/or (b) group-/third party-funded enrollments, as applicable. If differing admissions criteria and/or admissions processes exist for different programs, clearly describe each process. Attach a copy of the franchise's written admissions policies and procedures. Also attach a copy of any handbook, scripts, and/or other materials which guide the admissions process.
2. What criteria are incorporated into the admissions process to ensure that, prior to acceptance, prospective participants are able and qualified to benefit from the education and training services?
3. Define the responsibilities and authority of all individuals involved in the admissions process. Describe how the admissions process is systematically and effectively monitored by management to ensure integrity.
4. How does the franchise ensure that participants are informed of the respective rights, obligations, and responsibilities of all parties, including a clear and explicit statement of all costs, as well as cancellation and refund policies, prior to signing the enrollment agreement/contract?

5. Provide a sample enrollment agreement/application, which clearly indicates that a copy of the signed and executed agreement must be furnished to the signatory parties before any payment or obligation is made.

C. Transfer of Credit: A vocational institution has written policies and procedures that ensure the fair and equitable treatment of students relative to the transfer of credit to and from the institution. The institution provides clear, complete, factual and timely information regarding its transfer policies and practices. All institutions making statements relative to the acceptance of their coursework for credit by another institution have documented evidence to support such statements.

Specific Criteria: Credit for Dale Carnegie training may be accepted by other entities for continuing/higher education purposes. While applying to vocational institutions, this standard also applies to franchises, but only within the context of the evaluation and acceptance of credit for Dale Carnegie programs/courses by other institutions and organizations.

Specifically regarding American Council on Education (ACE) recommendations for college credit, these recommendations are determined in cooperation with Dale Carnegie & Associates, Inc. and extend to franchises through their utilization of the licensed programs or courses.

Franchises, therefore, do not need to address question/statement #1 below; it need only be addressed by Dale Carnegie and Associates, Inc., when completing this document.

1. Provide documented evidence of ACE recommendations for college credit. Describe the ways in which participants are informed of these recommendations, as well as the process by which verification or documentation of such credit is provided to participants on request.
2. Provide documented evidence of any professional associations recognizing Dale Carnegie training CEUs, as applicable.

D. Student Services: Student services, consistent with the mission and learning objectives of the institution, are provided, such as academic advising, tutoring, placement assistance, extracurricular activities, and housing, as applicable.

1. List and describe the various services provided by the franchise to enhance participants' academic, personal, and/or professional development. Such services typically include coaching, tutoring, internet access, follow-up meetings, "Grad Rallies," breakfast meetings, Info Ally products, etc.
2. Describe how the franchise ensures that its participant services: (a) meet the needs of participants requiring additional instructional support and (b) address the varying levels of ability, age, background, prior education and work experience of its participants.

3. How are class assistants trained and utilized?

STANDARD VIII – EVALUATION

The institution utilizes appropriate methods of evaluation to ensure that outcomes are consistent with the mission and goals. The institution maintains all required documentation.

- A. Student Progress: The institution effectively monitors, assesses, and records the progress of participants utilizing a sound assessment system with a set of defined elements that are appropriately related to the performance objectives of the programs or courses. Semester credits, quarter credits, clock hours, and/or continuing education units are used to denote the successful completion of the education and training services. Student progress is documented consistently in accordance with institutionally established performance outcomes and is communicated to all participants. Participants are informed of their progress on a regular and timely basis. Institutions publish clear descriptions of their requirements for satisfactory student progress and utilize sound written policies and procedures to determine student compliance with these requirements and to document the results.**

Specific Criteria: The amount and degree of the behavioral changes which occur as a result of Dale Carnegie training can be assessed by both students and instructors. This assessment will be conducted through the utilization of the objective records, progress reports, and Dale Carnegie & Associates, Inc. program evaluations. Requests for transcripts are processed promptly.

1. Provide copies of the written policies and procedures used to record the progress of participants timely, accurately, and consistently with the franchise's grading system. What units are used to record participant progress on transcripts or other documents (credit hours, clock hours, CEUs)? To whom are grades reported, and by what procedure are they recorded and reviewed to determine participant progress?
 2. Describe how assessment standards and results are communicated to participants in a timely and informative manner.
 3. How does the franchise ensure that the overall assessment system is consistently implemented by all trainers?
 4. Are transcripts issued upon request and at what cost to participants?
- B. Attendance: The institution establishes and implements written policies and procedures for monitoring and documenting attendance. The attendance policy is effective in ensuring that student participation and preparation are consistent with the expected performance outcomes of the course or program.**

1. Attach a copy of the franchise's written attendance policy with specific references to minimum attendance requirements and provisions for tardies and early departures. Describe how the attendance policy is effective in ensuring that participant participation and preparation are consistent with the expected performance outcomes of the course or program.
2. Describe how attendance requirements and documented attendance performance are communicated to participants in a timely and informative manner. If a participant has failed to meet the minimum benchmarks for attendance performance, what are the ramifications?
3. How is participant attendance and punctuality recorded in the classroom? How, when, and by whom is this information collected and documented in participants' permanent records?
4. What processes are in place to ensure that attendance records are reliably and accurately maintained? Attach sample copies of various attendance documentation, including: (a) daily/weekly individual and/or class records; (b) end-of-program records; and/or (c) individual transcripts

C. Participant Satisfaction: Open lines of communication with participants exist and demonstrate responsiveness to student issues. Written policies and procedures are followed that provide an effective means to regularly assess, document, and validate student satisfaction relative to the quality of education and training offered, as well as the student services provided. Interim evaluations and a final evaluation upon completion of the term of enrollment are specified components of determining participant satisfaction.

1. Attach a copy of the franchise's written policy to regularly assess, document, and validate participant satisfaction with the quality of education and training offered. Describe how the franchise systematically and effectively implements the policy, including: (a) how frequently participant satisfaction is assessed; (b) how participant feedback is documented; (c) who analyzes the feedback; (d) how the feedback is communicated to appropriate personnel; and (e) how feedback is utilized for the improvement of the training and operation of the franchise.
2. Attach a copy of the questionnaire(s) or form(s) used by the franchise to solicit feedback from participants. Provide an example of when an analysis of participant feedback resulted in improvements to the training or operation of the franchise.
3. What percentage of the franchise's graduates within the past 12 months, as reported on the program evaluation or via other feedback mechanisms, indicated that the training experience had exceeded their expectation?

4. Describe the means by which the franchise ensures that open lines of communication exist to facilitate responsiveness to participant issues. Relate relevant examples.
5. Attach a copy of the franchise's written policy informing participants of the process for advancing concerns/grievances to management and for management's timely response.
6. Where does the franchise publish and post contact information by which participants can address concerns/grievances to governmental regulatory bodies and/or ACCET, in accordance with requirements of Document 49 – Policy and Procedure for Processing Complaints, and Document 49.1 – Notice to participants: ACCET Complaint Procedure?

D. Employer/Sponsor Satisfaction: Written policies and procedures are followed that provide an effective means to regularly assess, document, and validate employer/sponsor satisfaction relative to the quality of the education and training services provided.

1. Attach a copy of the franchise's written policy and procedures to regularly assess, document, and validate the satisfaction of employers and/or sponsors (third-party payers and/or organizations who contract training for participants) with the quality of the franchise's education and training. Describe how the franchise systematically and effectively implements the policy, including: (a) how frequently employer/sponsor satisfaction is assessed; (b) how employer/sponsor feedback is documented; (c) who analyzes the feedback; (d) how the feedback is communicated to appropriate personnel; and (e) how feedback is utilized for the improvement of the training and operation of the franchise.
2. Attach a copy of the questionnaire(s)/form(s) used by the institution to solicit feedback from employers and/or sponsors, as applicable. Provide an example of when an analysis of employer/sponsor feedback resulted in improvements to the training or operation of the institution.
3. Provide a list of a representative sample of employers/sponsors who have hired graduates from or contracted training with the franchise in the last 12 months, as applicable.

E. Completion and Placement: Written policies and procedures are followed that provide an effective means to regularly assess, document, and validate the quality of the education and training services provided relative to completion and placement rates, as applicable.

- **Completion**: The number of participants who complete the programs and courses in which they enroll is consistent with the benchmarks established by the Accrediting Commission.
- **Placement**: Institutions offering vocational programs provide job placement assistance to graduates and document the results to enhance the effectiveness of the training services provided. The quality of such programs is validated by positive

training-related outcomes consistent with the benchmarks established by the Accrediting Commission.

1. How does the institution define a completer in order to calculate completion rates? Attach a copy of the written policy and procedures utilized by the institution to track and analyze completion data, with specific reference to enrollment/start and withdrawal/completion lists.
2. What are the completion rates by program for the previous calendar year and the current year-to-date period, with reference to the ACCET 67% benchmark completion rate established by the Accrediting Commission?
3. If completion rates for one or more programs are below the ACCET 67% benchmark for the reported periods, provide a detailed analysis and explanation of the reasons for the below-benchmark rate(s), identifying specific initiatives undertaken to improve the rate(s) and any mitigating circumstances the franchise believes pertinent.