



North Carolina Community College System

NCCCAEA 2019 Fall Conference

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References

- North Carolina General Statutes
- State Board of Community Colleges Code
- State Board Numbered Memoranda

- College Policies & Procedures
- Catalog & Publications

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Compliance Review Process

Compliance Results Written As:

- Coaching Letter
 - Recommendations
- Compliance Report
 - Final Report with no findings
 - Minimal Material Finding
 - Material Finding with Reversion of Funds

Reference CC15-036, Compliance Review Reports and Reversions, page 2



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The Compliance Review

- Save the date email – sent to the president and the president’s assistant 4 weeks prior to the start of the review
- Documentation email – sent to the president and the president’s assistant 2 weeks prior to the start of the review
- After the documentation is sent, no changes to the records may be made



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Compliance Review Continued

- The Compliance Review List is included in the documentation sent to staff. This list should be completed and returned to the examiner prior to the start of the review.
- The email sent with the documentation also has information that needs to be sent to the examiner prior to the review.



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Recent Findings

- Instructor signature – the instructor, or lead instructor, must sign the roster.
- Contact hours over-reported – CCR and OE
- Number of students enrolled at the census date
- Scheduled hours held were not the same as hours reported

Reference

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Recent Findings - Continued

- Clinical Hours Reported

- Class and clinical hours should not overlap
- Documentation must be maintained
- Documentation must be clear and concise
- Documentation must show where students completed their hours with dates and times

References

1D SBCCC 300.9 Clinical Practice

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Recent Findings - Continued

- Underage students (under 16 years of age) reported for OE classes

References

1D SBCCC 300.4 Program Management

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes

- HRD Fee Waiver Forms were not signed

Reference

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Recent Findings - Continued

- Instructor pay did not match hours reported per student
 - There must be instructor pay for at least the total number of hours reported for each student
 - Documentation of instructor pay must be in the class file
 - If the class was combined with another class, and the instructor is paid in one section, put a copy of the contract in both class files
 - If the instructor is paid by a PSA, then documentation must be in the file where that PSA was paid.

References

1G SBCCC 100.99 Budget FTE Funding

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Maintenance of Records

- Rosters
 - should be official college rosters
 - should have the same or similar information
 - should have dates and times clearly noted
 - should be original rosters

Reference

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Maintenance of Records

Do Not Use Whiteout (or any product like Whiteout)

Mistakes should have a strike through, and the correction noted. If a roster/other document becomes hard to read, include corrected information in some manner.

Reference

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Gentle Reminders

- For regularly scheduled classes, ensure census date was accurately calculated
- For non-regularly scheduled classes, ensure contact hours were calculated correctly
- Class hours should not exceed the hours noted in the Combined Course Library (CCL)

Reference

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Non-Regularly Scheduled Classes

Distance Learning Classes

Online – documentation should be noted by an entry quiz, and attendance documented through the 10% point, and at a set interval after the census date. Statistical documentation showing entry must be included in the file.

Hybrid – documentation should be noted by entry during a seated session (if prior to 10%), and a quiz if not on a seated date. Attendance should be maintained through the census date, and at a set interval after the census date.

* Non-regularly scheduled rosters should have the same information as a traditional class roster

Reference

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Updates – Fee Waiver Guidelines

CC18-053 - Tuition and Registration Fee Waiver Reference Guide – October 22, 2018, Revision

- Job titles and agencies for each student fee waived must be listed
- Ensure amount fee waived is correct

Reference

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Updates – Work-Based Learning

- Compliance Services will review Work-Based Learning Work Books, and any issues will be included in a coaching letter
 - Determine if the course meets the WBL course section criteria
 - Determine if the course is linked to Workforce Continuing Education Criteria
 - Determine if the student meets the student eligibility criteria
 - Instructor pay
 - Student file contains necessary documentation

References

1D SBCCC 300.10 Work-Based Learning

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education Classes



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Updates – Career and College Promise

- Compliance Services will review Workforce CE CCP, and any issues will be included in a coaching letter
 - Determine if pathways were approved
 - Determine if the student met the enrollment criteria
 - Determine if the student maintained eligibility based on program requirements
 - Determine if any student enrolled in multiple pathways, and if so, is proper documentation available
 - Determine if any student changed pathways, and if so, is proper documentation available
 - Determine if students were fee waived appropriately

References

1D SBCCC 200.95 Education Services for Minors

1D SBCCC 300.1 Definitions

1D SBCCC 300.4 Program Management

1G SBCCC 200.94 Reporting of Student Hours in Membership for Continuing Education



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Questions

Please feel free to email us with any questions you may have.

Audience Questions