

TAKING THE MYSTERY OUT OF COMPLIANCE

NCCCS Compliance Services Team



**NC COMMUNITY
COLLEGES**

CREATING SUCCESS



AGENDA

Why We Do What We Do

Setting Up the Compliance Review Schedule

How the Sample of Classes is Pulled

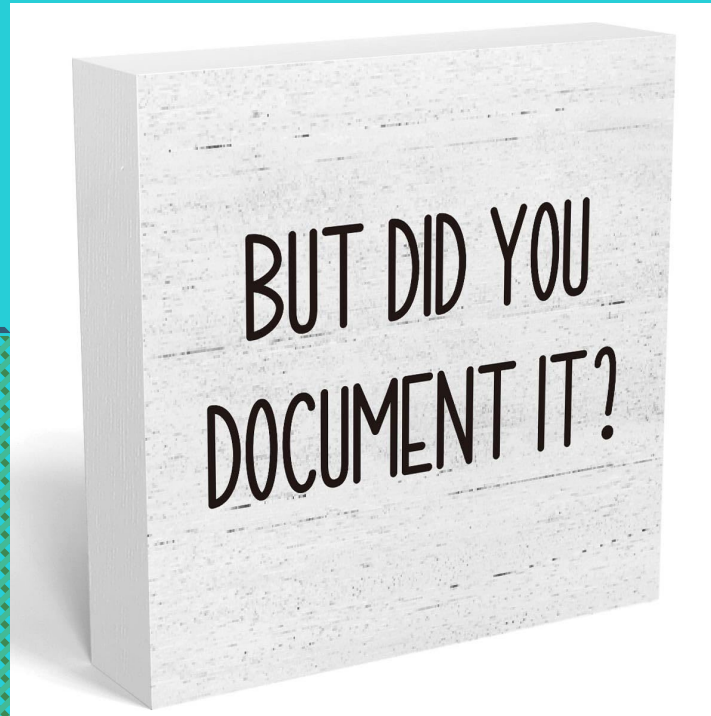
What We Look For

Be Compliance Ready

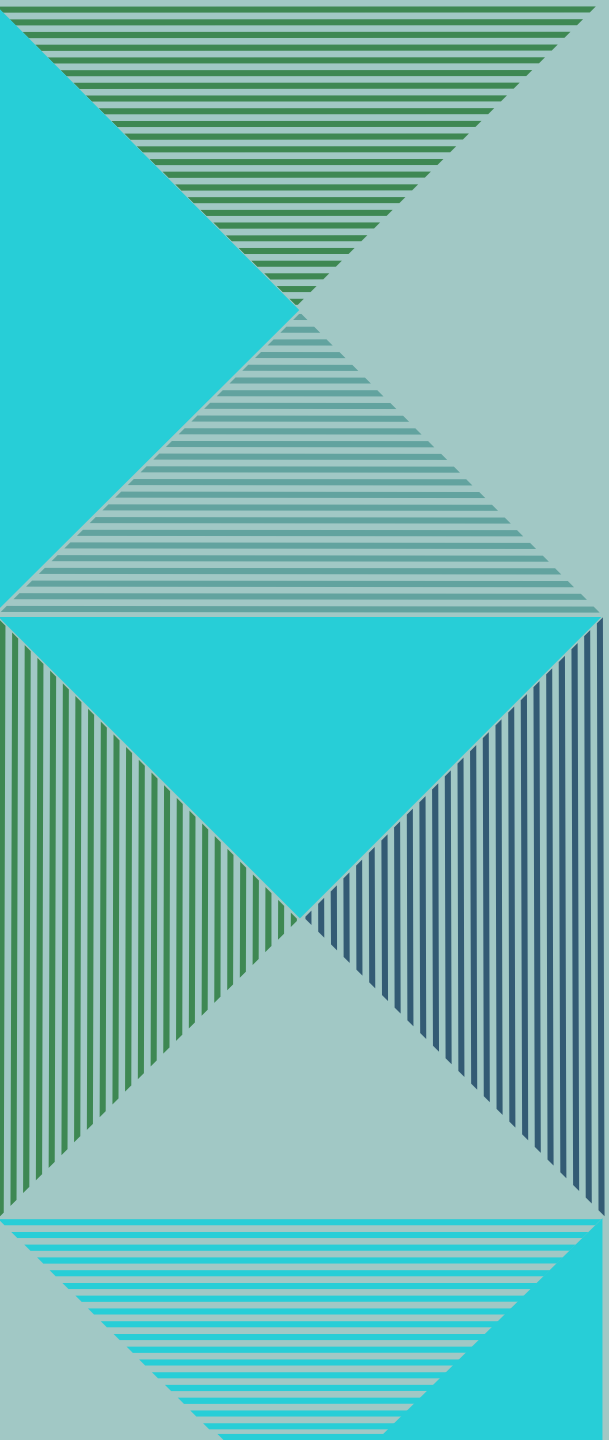
Top Issues Found in Each Area FY 2025-26

Q & A Forum

What We Do



- Ensure you have clear and accurate documentation of the hours you reported for FTE on your college's ICR report.
- Ensure you are adhering to all NC General Statutes, State Board of Community Colleges Code, and your own college's policies.



SETTING UP THE SCHEDULE OF COMPLIANCE REVIEWS

External factors we must consider:

- Hotel prices – avoid peak season
- Potential weather – snow and hurricanes
- Individual college accreditation visits
- Major events at individual colleges (ex. Merlefest at Wilkes)

Internal factors we consider:

- Team reviews
- ICR period – Everyone takes one for the team at some point
- Not always the same time of year (Fall or Spring)
- Colleges with Material Findings from previous review year

WHERE DOES THE SAMPLE OF CLASSES COME FROM?

ICR

- Pulled from Data Warehouse

Random Sample

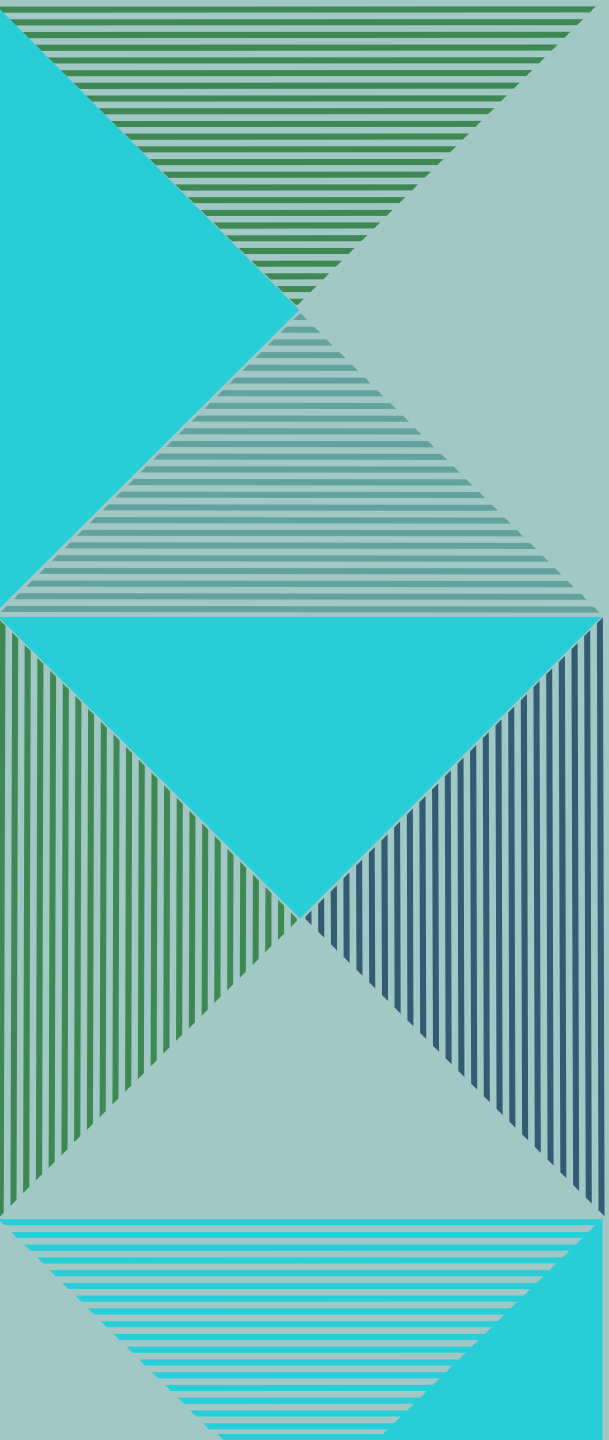
- Statistical software used
- 95% confidence level

Classes We Do Not Review

- CSP, CTP, and classes reported as self-supporting



WHAT WE LOOK FOR DURING A REVIEW



CLASS TYPES FOR REPORTING FTE

Membership Hours

(Regularly Scheduled)

- Students must enter between the first day of class and the census date to be reported for FTE.
- Students cannot officially drop/withdraw prior to or on the census date and be reported for FTE.
- Last date of attendance may not be the same as official withdrawal date.

Contact Hours

(Non-Regularly Scheduled)

- Report only actual time of student attendance in class or lab.
- 60 Minutes = 1 hour
- Provide documentation of how hours were reported.

Traditional (TR)

- 100% of instruction is face to face
- Students must attend in person to be reported.

Online (IN)

- 100% of instruction is delivered online
- Students must submit a completed online assignment to be reported.

Hyflex (HF)

- 100% of the instruction must be scheduled face to face
- Students must submit a completed assignment or attend in person to be reported.

Hybrid (HY)

- Greater than 50% of instruction is delivered online.
- Students must submit a completed assignment or attend in person to be reported.

Blended (BL)

- Less than or equal to 50% of instruction is delivered online.
- Students must submit a completed assignment or attend in person to be reported.

INSTRUCTIONAL DELIVERY METHODS



INSTRUCTOR SIGNATURE/CERTIFICATION OF OFFICIAL ATTENDANCE RECORDS

- Attendance records are legal documents.
- Official attendance records must be signed by an instructor who taught the class.
- Electronic signatures must follow your college's internal Electronic Signature Policy.
- Please ensure all attendance records are signed by an instructor of record. Hours will be included in a finding if the attendance record is not signed.

COLLEGE & CAREER READINESS (CCR)

Attendance Record

- Signed by an instructor who taught the class
- Scheduled for correct number of hours
- Final GROS

Instructor Payment

- Payment for all hours reported
- Number of hours taught by FT and PT

Time in/out

- Sign in/out sheets totaled by day OR
- Clock-time software hours totaled by student per day



WORKFORCE CONTINUING EDUCATION (WCE)

Attendance Record

- One final record with withdrawal dates and final grades
- Scheduled for correct number of hours
- Signed by an instructor who taught the class

Instructor Payment

- Payment for all hours reported
- Contracts, timesheets, PSA proof of payment

Student Payment

- Receipt of payment or waiver with \$ amount
- Include third party payment by companies or scholarships

Supporting Documentation

- LMS doc. of first completed assignment for each student
- Clinical dates, times, locations by student
- Time in/out for contact hour classes

CCP – Follow SO Guidance

- Pathways approved by System Office
- No more than two active pathways, including CU
- Students cannot take classes outside their approved pathway
- Fee waiver applied correctly

WBL

- Workbooks
- Timesheets
- Student entry by census or contact hours

Cooperative Agreements (formerly ISAs)

- All agreements and terminations
- Documentation of shared hours, if applicable

Captive Co-opted

- Courses approved by State Board
- Proof of payment by Dept of Adult Corrections (DAC)

Basic Skills Plus

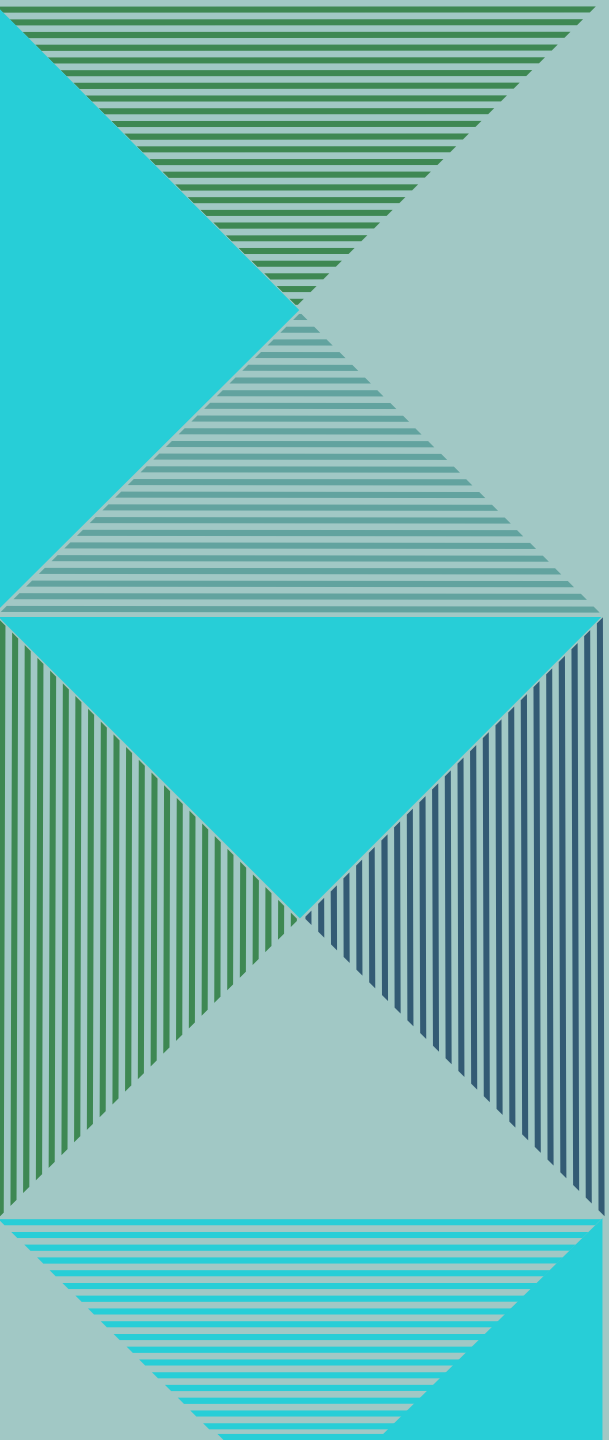
- Concurrently enrolled in CCR and WCE
- No class overlaps
- Fee waiver applied correctly

WCE “PIECES”

PUBLIC SAFETY WAIVERS



- Students must attest to their agency affiliation and job classification in order to receive the fee waiver.
- Do not report FTE for students who do not attest to both their agency affiliation and job classification.
- For online classes, the fee waiver attestation should be a separate process from the completion of the online entry assignment.



CURRICULUM (CU)

Final Attendance Record

- Student entry noted (P)
- Withdrawal dates and final grades
- Scheduled for the correct number of hours
- Instructor Signature after census

Supporting Documentation

- LMS documentation of first completed assignment if student entered online (BL, HF, HY, IN)
- Clinical schedule: dates, times, and locations
- Time in/out for contact hour classes including Independent Study

Skills Lab

- Instructor Referrals
- No overlaps between scheduled class time and tutoring time

CCP – Follow SO Guidance

- Pathways approved by System Office
- No more than two active pathways, including CE
- Students cannot take classes outside of their approved pathway unless they complete the pathway and enter the parent program

WBL

- Workbooks
- Timesheets
- Student entry by census or contact hours

Cooperative Agreements (formerly ISAs)

- All agreements and terminations
- Documentation of shared hours, if applicable

Captive Co-opt

- Program approved by State Board
- Tuition and fees paid

Basic Skills Plus

- Concurrently enrolled in CCR and CU classes
- No class overlaps
- Fee waiver applied correctly

CU “PIECES”

CU CCP LIST EXAMPLE

TERM	Student ID	First Name	Last Name	Primary Pathway	Secondary Pathway
2025SU	100123	Norman	Cooper	C25120CP	
2025FA	100456	Sabra	Matney	P1032C	C45480CP
2025FA	100789	Susan	Miller	P1042C	C25590CP
2026SP	200123	Amanda	Tolar	C45360CP	
2026SP	200456	Tonya	Waddle	D55140CP	CECCP-Nurse Aide

WCE CCP LIST EXAMPLE

TERM	Student ID	First Name	Last Name	CE Pathway	High School Name
2025CE2	100123	Norman	Cooper	CECCP-Maintenance Tech	Great Barrier Reef High School
2025CE3	100456	Sabra	Matney	CECCP-Maintenance Tech	Shining Star Lamb Academy
2025CE3	100789	Susan	Miller	CECCP-Nurse Aide	Von Trapp High School
2026CE1	200123	Amanda	Tolar	CECCP-Nurse Aide	Gotham City High School
2026CE1	200456	Tonya	Waddle	CECCP-Nurse Aide	Dollywood High School

XPA REPORTS

WBL CU only

- Students are enrolled in a WBL class listed in their program of study.

Underage All Areas

- CU: correct grade levels
- CCR/CE: students under 16 removed (some exceptions)

Overlap Report All Areas

- Adjustments noted and made
- Best Practice: Note in files

BLET CLASSES



Attendance Record



Final Class Calendar from ACADIS (totaled without breaks)



Sponsorship Letters – Legible and dated by agency



Student Completion/Departure Reports



Instructor Payment (WCE only)

GETTING READY FOR A COMPLIANCE REVIEW



1. Is all documentation assembled in a single class file?
2. Is your documentation legible? Check penmanship and font size.
3. Do you have a large room reserved for the compliance team to work?
4. Is all documentation listed on the Compliance Review List available to examiners for the onsite review?

Be Compliance Ready

Review records in
real time

Visit the NCCCS
Website

Ensure all
records are
submitted
on time

Make
adjustments
in a timely
manner

Document
adjustments
in the files

State
Board
Code

Upcoming
SBCC
Agenda
Items

Numbered
Memos

www.ncccommunitycolleges.edu

TYPES OF REPORTS

No Findings

- Non-compliant hours **less than 1%** of the total hours in the sample of class records

Minimal Finding

- Non-compliant hours **exceed 1%** of the total hours in the sample of class records – less than 5%

Material Finding (Reversion of Funds)

- Non-compliant hours **exceed 5%** of the total hours in the sample of class records

Coaching Letter (Optional)

- Recommendations to mitigate risk

All Reports Are Public Record

- Sent to State Auditor, BOT Chair, State Board of CC





WHAT WE FOUND THIS YEAR

COLLEGE & CAREER READINESS (CCR)

Instructor Signature

- The official attendance record was not signed by the instructor who taught the class.

Membership Hour Classes

- Classes were held for less hours than reported on the ICR.
- Instructor was paid for less hours than reported.

Instructor Payment

- Instructors were not paid for all class hours reported.
- The number of hours taught by each instructor was not noted.

WORKFORCE CONTINUING EDUCATION (WCE)

Instructor Signature

- The official attendance record was not signed by an instructor who taught the class.

Number at Census

- Number of students at census reported incorrectly.
- LMS documentation did not match number of students reported.

Public Safety

- Students did not attest to their agency affiliation and job classification for fee waivers.
- Next year, if attestation is not complete, hours will be excepted.

CURRICULUM (CU)

Instructor Signature

- The official attendance record was not certified by the instructor who taught the class.

BLET

- Limited enrollees were reported for all hours.
- Incorrect number of students at census reported.

CCP

- Students enrolled in classes outside of their pathway.
- Pathways were not approved by the System Office.

HOURS BY ISSUE

*Lowest FTE Sector = \$4,482.13

ISSUE	CU TOTAL	CE TOTAL	CCR TOTAL	GRAND TOTAL	TOTAL FTE	FTE Amount*
Instructor Signature	-9904.00	-13591.00	-2239.00	-25734.00	-50.26	\$ (225,279.56)
BLET	-5802.50	-18752.00	NA	-24554.50	-47.96	\$ (214,954.03)
Number at Census	-2512.00	-19807.50	0.00	-22319.50	-43.59	\$ (195,388.48)
Scheduled Hours	-5972.50	-10048.75	-2330.75	-18352.00	-35.84	\$ (160,656.35)
CCP	-4832.00	-5744.50	NA	-10576.50	-20.66	\$ (92,588.37)
Instructor Pay & PSA Pay	0.00	-4625.50	-1285.00	-5910.50	-11.54	\$ (51,741.46)
Student Fee Payment	NA	-5288.00	NA	-5288.00	-10.33	\$ (46,292.00)
WBL	-2560.00	0.00	NA	-2560.00	-5.00	\$ (22,410.65)
Prison Approvals	0.00	-2295.00	NA	-2295.00	-4.48	\$ (20,090.80)
XPA Overlap Reports	0.00	-573.50	0.00	-573.50	-1.12	\$ (5,020.51)
Miscalculated Contact Hrs	0.00	-152.75	-339.25	-492.00	-0.96	\$ (4,307.05)
Class-Clinical Overlap	-4.00	-228.00	NA	-232.00	-0.45	\$ (2,030.97)



AN INSTRUCTOR WHO TAUGHT HOURS IN THE CLASS MUST SIGN/CERTIFY THE OFFICIAL ATTENDANCE RECORD.

IT'S IN STATE BOARD CODE!

All documentation should be legible.

If a signature is not legible, please print it also.

Electronic signatures must follow your Electronic Signature Policy.

SHARED FROM COASTAL CAROLINA CONTINUING EDUCATION DIVISION

THANK YOU,
HOLLY &
LORRAINE!



IF YOU HAVE
QUESTIONS,
PLEASE
CONTACT US!



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