CHAPTER 3

REPORTING REQUIREMENTS

The Chancellor’s Office, on behalf of the Board of Governors, is responsible to the California Legislature for ensuring that funds provided to districts are used for their intended purposes and that colleges operate their programs in accordance with state law and regulations. A summary of the Education Code and title 5 regulations that relate to funding and reporting requirements for Student Success and Support Program (SSSP) is provided in Appendix A and B.

The colleges must submit several key reports each year to the Chancellor’s Office regarding their credit and noncredit SSSP activities and expenditures. The reports and their due dates are shown in Tables 1 and 2. Reporting requirements are discussed in the sections below.

Table 1 (2013-14)

<table>
<thead>
<tr>
<th>Required Documents and Reports</th>
<th>Remaining Due Dates (based on carryover authority)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mid-Year Report -- Declaration of Unused Credit and Noncredit SSSP Funds</td>
<td>September 30, 2014</td>
</tr>
<tr>
<td>SSSP Year-End Expenditures Report (Credit and Noncredit)</td>
<td>February 13, 2015</td>
</tr>
</tbody>
</table>

Table 2 (2014-15)

<table>
<thead>
<tr>
<th>Required Documents and Reports</th>
<th>Due Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certification of Eligibility to Receive Noncredit SSSP Funds</td>
<td>September 5, 2014</td>
</tr>
<tr>
<td>Student Success and Support Program Plans and Budget Plans (Credit)</td>
<td>October 17, 2014 *</td>
</tr>
<tr>
<td>Student Equity Plan</td>
<td>January 1, 2015</td>
</tr>
<tr>
<td>Mid-Year Report -- Declaration of Unused Credit and Noncredit SSSP Funds</td>
<td>February 13, 2015 **</td>
</tr>
<tr>
<td>Management Information System (MIS) data reporting</td>
<td>30 days after the end of each term; August 3, 2015 for the final submission</td>
</tr>
<tr>
<td>SSSP Year-End Expenditures Report (Credit and Noncredit)</td>
<td>September 15, 2015 **</td>
</tr>
</tbody>
</table>

*Due to ongoing revisions to the Noncredit SSSP Plan template, colleges may use 2014-15 as a planning year. The first Noncredit SSSP Plan will be due in October, 2015.

Reports due for each college’s Credit SSSP and Noncredit SSSP are posted on the Chancellor’s Office website (http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Forms.aspx) and distributed to the SSSP listserv. To sign up for the listserv, visit http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Listserv.aspx. Please see...
Chapter 4, *Student Success and Support Program Funding Guidelines* for further guidance in preparing these reports.

**Student Success and Support Program Plans (Credit and Noncredit)**

Each college is required to complete an annual Credit SSSP Plan. Those colleges with noncredit programs are also required to submit a separate Noncredit SSSP Plan each year. Colleges shall develop plans through consultation with representatives of the academic senate, staff, administrators and students. The plans must describe the SSSP services the college provides. Education Code, section 78216(c) and title 5, section 55510 specify how the SSSP plans must be developed and the required elements, which include:

- Method of delivery of services required by section 55520.
- Identification of students at risk for academic or progress probation and planned interventions.
- Coordination with college student equity plan.
- External partnerships with high schools, workforce agencies or other partners.
- Budget Plan for program expenditures.
- Professional development.
- Technology support and institutional research.
- Exempted student criteria consistent with section 55532.
- Assessment policies and procedures including validation of assessment tests and cut scores, as described in the [validation standards](http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Assessment.aspx).
- Prerequisite policies.
- Student appeal policies and procedures.

In addition, the following sections of the Education Code provide greater detail on legislative reporting requirements:

- Ed Code section 78213(a) requires colleges to use only the assessment instruments authorized by the Board of Governors and provides information on assessment. (Note: Approved instruments are listed on the assessment web page: [http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Assessment.aspx](http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Assessment.aspx).)
- Ed Code section 78214(a) addresses research requirements.
- Ed Code section 78215(a) governs orientation, assessment and education plans.

The plans should describe all SSSP services, policies, activities and procedures, regardless of funding source, to present a complete picture of the college’s program. For colleges in districts with multiple institutions, the plans must address coordination among the colleges.

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1 [http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Assessment.aspx#Validation%20 Standards](http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Assessment.aspx#Validation%20Standards)
Signatures

The Credit SSSP Plan must include the signatures from the college’s Credit SSSP Coordinator, Supervising Administrator or Chief Student Services Officer, Chief Instructional Officer, College Academic Senate President, College President, and District Chancellor. The Noncredit SSSP plan requires the signatures of the college Noncredit SSSP Director/Coordinator, Noncredit SSSP Supervising Administrator or Chief Student Services Officer, Chief Noncredit Instructional Officer, College Academic Senate President, College President and District Chancellor.

While the Chancellor’s Office does not require formal approval from the district governing board for the plans, if a district has such a requirement, the board must approve the plans in time to meet the October deadline for submission to the Chancellor’s Office. Colleges must submit plans with original signatures.

Core Services

Section IIa describes the required SSSP services: (a) orientation, (b) assessment and placement, (c) counseling, advising, and other education planning services, and (d) follow-up services for at-risk students. The plan must describe the services provided, target student populations and estimate the number served, service delivery strategies, partnerships with outside agencies, faculty and staff providing services, technology support, research conducted, and any additional policies and procedures relevant to SSSP services. In addition, detail on abbreviated and comprehensive education plans must be included, as well as related placement and assessment information, including instruments and policies.

Related Direct Program Services: Institutional Research and Technology

Section IIb of the plan requires colleges to describe the institutional research and technology that directly support the delivery of SSSP services. Title 5, section 55512 requires colleges to research and evaluate SSSP services to determine areas of needed improvement. In addition, this regulation requires the Chancellor to “establish a system for evaluation of the Student Success and Support Program on a statewide basis.”

Institutional research on SSSP varies widely across colleges and districts, depending on local needs and the resources available. Suggested areas of research include:

- Analysis of patterns of course success in relation to core SSSP services, with data disaggregated by ethnicity, gender, disability, age, and socioeconomic status.
- The impact of assessment test cut scores and multiple measures on student progress toward educational goals.
- Evaluation of orientation programs and their ability to promote knowledge of the institution and its support services.
- The impact of prior educational experiences on assessment and placement systems, and course taking patterns.
• Tracking of particular cohorts of students to understand the impact of placement systems and key gatekeeper courses on the attainment of educational goals.
• Evaluation of the success of follow-up services and interventions designed to assist students on academic probation.
• Analysis of counseling visits and education planning systems and the value they add to a student's attainment of successful course and program outcomes.
• Analysis of staffing and service delivery patterns that documents, in a multivariate context, the important role that counselors and academic advisers play in key success metrics (i.e., the student-to-counselor ratio or counseling visits per year as independent variables to explain course or program success).
• Assistance on developing a list of key performance indicators that can be used to track the success of support programs.
• Best practices that can be shared with faculty and staff involved in delivering SSSP programs.
• Tracking and evaluating students' progress towards achieving stated educational goals based on the information from students' education plans (abbreviated and comprehensive).
• Evaluation of different modalities or delivery methods (i.e., online vs. face-to-face counseling) and their impact on achievement.

Colleges are to describe the types of services provided through the use of technology that directly relate to the delivery of services, such as technology-mediated strategies for the delivery of orientation, assessment, advising and student educational planning.

**Services Allowed for District Match**

Section IIc requires a description of the services allowed for the district’s matching funds. Education Code section 78211.5(b) permits districts to expend SSSP categorical funds only on core services approved by the Board of Governors. However, districts may count expenditures for services that were allowable as of 2008-09 under the old Matriculation Program as part of their matching funds requirement, even though they can no longer use SSSP funding to pay for these services. These services include Admissions and Records, Transfer and Articulation Services, Career Services and other unrelated Institutional Research. In addition, colleges may include institutionally-funded tutoring and supplemental instruction costs for at-risk students as match. The expenditures in each plan will be compared with the college’s Year-End Expenditures Report to monitor for consistency. Please refer to Chapter 4, *Student Success and Support Program Funding Guidelines*, for more information on matching funds for credit and noncredit SSSP.
Policies and Professional Development

Policies: Exemption, Appeal and Prerequisite
This section of the SSSP plans pertains to legislation and regulations that require districts to establish clear and equitable policies and procedures for plan implementation. Policies and procedures identified in the Credit and Noncredit SSSP Plans address exemptions, appeals, and prerequisites. Title 5, section 55532 lists the criteria that colleges must use in developing policies that exempt a student from orientation, assessment, counseling, advising, or student education plan development. Colleges are required to report which criteria they adopt in establishing exemption policies. Title 5, section 55534 establishes criteria for student appeal policies and procedures regarding alleged violations in student services programs. Colleges are also required by title 5, section 55510 to describe in their plans procedures for establishing and reviewing prerequisites as well as procedures for considering challenges to the prerequisites. Title 5, section 55003 establishes criteria which colleges must follow to establish prerequisites, corequisites, and advisories on recommended preparation.

Information colleges provide in the plans should contain appropriate citations to the relevant legislation and regulations. In addition, it is expected that all required policies and practices referenced in the plan are in force when it is submitted, and all district board policies included are formally enacted.

Resources
Guidelines for Title 5 Regulations Section 55003: Policies for Prerequisites, Corequisites and Advisories on Recommended Preparation (2011)
http://extranet.cccco.edu/Portals/1/AA/Prerequisites/Prerequisites_Guidelines_55003%20Final.pdf

Professional Development
Title 5, section 55516 requires each community college district to implement a professional development program for staff and faculty providing SSSP services. Professional development is important to ensure that staff and faculty are up to date with credit and noncredit SSSP practices and policies. Examples of professional development services include:
- SSSP training during new faculty and staff orientations and FLEX activities.
- Attending SSSP-related activities, meetings and conferences.
- Dedicating a section of departmental newsletters and updates to SSSP.
- Widely disseminating SSSP-related research and reports.
- Including SSSP information in staff, student, and faculty handbooks.
- Including SSSP presentations at departmental and division meetings as well as Academic Senate meetings;
- Providing SSSP information to student groups and organizations.
- Incorporating SSSP into student learning outcomes and assessments.
Coordination with Student Equity Plan, and Other Planning Efforts, and in Multi-College Districts

This section of the plan also allows colleges to document how their SSSP plan complies with requirements of the Seymour-Campbell Student Success Act of 2012 through coordination with other institutions in multi-college districts as well as with other college plans.

**Student Equity Plan**

Coordination of the SSSP plan with the Student Equity Plan is required in Education Code and title 5 to receive SSSP funding. The Student Equity Plan focuses on improving access; course completion; ESL and basic skills completion; and obtainment of degrees, certificates and transfer for all students, particularly for disadvantaged students. The Student Equity Plan is based on success indicators, which identify and measure areas for which disadvantaged populations may be impacted by issues of equal opportunity. The indicators are linked to the [California Community Colleges Student Success Scorecard](http://scorecard.cccco.edu/scorecard.aspx) and other measures developed in consultation with local colleges.

**Resources**

- Student Equity website and plan template (2014)
  [http://extranet.cccco.edu/Divisions/StudentServices/StudentEquity.aspx](http://extranet.cccco.edu/Divisions/StudentServices/StudentEquity.aspx)

- Student Success Scorecard
  [http://scorecard.cccco.edu/scorecard.aspx](http://scorecard.cccco.edu/scorecard.aspx)

  [http://extranet.cccco.edu/Portals/1/TRIS/Research/Accountability/GUIDELINES%20FOR%20MEASURING%20DISPROPORTIONATE%20IMPACT%20IN%20EQUITY%20PLANS%202013.pdf](http://extranet.cccco.edu/Portals/1/TRIS/Research/Accountability/GUIDELINES%20FOR%20MEASURING%20DISPROPORTIONATE%20IMPACT%20IN%20EQUITY%20PLANS%202013.pdf)

- Student Equity: From Dialog and Access to Action (2010)
  [http://asccc.org/sites/default/files/studentequity_10_0.pdf](http://asccc.org/sites/default/files/studentequity_10_0.pdf)

The Academic Senate for California Community Colleges has published several papers on the student equity planning process that provide useful background information and

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2 [http://scorecard.cccco.edu/scorecard.aspx](http://scorecard.cccco.edu/scorecard.aspx)

**Attachments**

The SSSP plan requires that three attachments be included: a) a list of all individuals involved in creating the plan and their related stakeholder group; b) an organizational chart, that highlights the credit or noncredit SSSP Coordinator’s position; and c) a list of the credit or noncredit SSSP Advisory Committee members. Colleges also have an opportunity to attach optional documents, such as handbooks or manuals, to give a more complete picture of all SSSP services provided.

**Fiscal Reports**

2013-14

**Mid-Year Report (Declaration of Unused Credit and Noncredit SSSP Funds)**

The [Mid-Year Report](http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Forms) is one of two required fiscal reports. Colleges must use this form to report and to request any unused SSSP funds. Unspent funds returned for reallocation to colleges will be distributed based on demonstrated need, consistent with the Student Success and Support Program Reallocation of Funds Policy described below.

**Student Success and Support Program Reallocation of Funds Policy**

Funds returned to the Chancellor’s Office prior to the end of the fiscal year will be reallocated to those colleges requesting reallocated funds, based on the established priorities for the year. The reallocated funds will be disbursed as evenly and equally as possible based on the amount of funds available and the college’s request. This policy will be implemented as follows:

1. Colleges will be requested to report any anticipated unspent funds for the 2013-14 fiscal year to the Chancellor’s Office by September 30, 2014. This information will be reported on the “Mid-Year Report” which also allows colleges to request that the base year allocation be reduced. Colleges have until December 20, 2014 to report any additional 2013-14 anticipated unspent funds. Changes in budgets should be reported through December 31, 2014.

2. As part of the Mid-Year Report, colleges will also be asked to submit requests for reallocated funds. To be considered, the requests must include a breakdown of the activities to be funded with a description and corresponding dollar amount needed. There will be no limit set on the amount of funds a college may request.

3. Any college that returns in excess of five percent of its previous year’s allocation on their Year-End Expenditures Report will not be eligible to receive reallocated funds in the following year.

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3 [http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Forms](http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Forms)
4. The Chancellor’s Office will review the requests for reallocated funds and recommend funding to implement SSSP core services. If the total requests for reallocated funds exceed the amount of unused funds available, then funding will be distributed equitably among the approved requests. Colleges may be contacted for verification of need prior to receiving an award letter. Late requests will not be accepted unless available funds exceed requests, those submitted after that date will not be considered.

5. Colleges receiving reallocated funds will be expected to spend or encumber the 2013-14 funds by December 31, 2014. If the college determines they cannot expend the funds as requested, the funds are to be returned to the Chancellor’s Office for further reallocation. If a college proceeds to spend the reallocated funds for non-core services, the college will be required to return those funds and will not be eligible during the next fiscal year for reallocated funds.

**Year-End Expenditures Report**

Colleges are also required to submit the SSSP Year-End Expenditures Report[^4]. Separate reports must be completed for Credit and Noncredit SSSP and are due after the conclusion of the fiscal year. They include the actual expenditures of state funds and other resources to support the SSSP at the college. Carryover of funds is allowed for 2013-14. Colleges have until December 31, 2014 to spend their 2013-14 SSSP Funds. The 2013-14 SSSP Year-End Expenditures Report is due February 13, 2015.

**2014-15**

**Mid-Year Report (Declaration of Unused Credit and Noncredit SSSP Funds)**

The Mid-Year Report[^5] is one of two required fiscal reports. Colleges must use this form to report and to request any unused SSSP funds. Unspent funds returned for reallocation to colleges will be distributed based on demonstrated need, consistent with the Student Success and Support Program Reallocation of Funds Policy described below.

**Student Success and Support Program Reallocation of Funds Policy**

Funds returned to the Chancellor’s Office prior to the end of the fiscal year will be reallocated to those colleges requesting reallocated funds, based on the established priorities for the year. The reallocated funds will be disbursed as evenly and equally as possible based on the amount of funds available and the college’s request. This policy will be implemented as follows:

1. Colleges will be requested to report any anticipated unspent funds for the 2014-15 fiscal year to the Chancellor’s Office by February 13, 2015. This information will be reported on the “Mid-Year Report” which also allows colleges to request that the

[^4]: http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Forms.aspx
[^5]: http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Forms
base year allocation be reduced. Colleges have until June 25, 2015 to report any additional 2014-15 anticipated unspent funds. Changes in budgets should be reported through the end of the fiscal year, June 30, 2015.

2. As part of the Mid-Year Report, colleges will also be asked to submit requests for reallocated funds no later than February 13, 2015. To be considered, the requests must include a breakdown of the activities to be funded with a description and corresponding dollar amount needed. There will be no limit set on the amount of funds a college may request.

3. Any college that returns in excess of five percent of its previous year’s allocation on their Year-End Expenditures Report will not be eligible to receive reallocated funds in the following year.

4. The Chancellor’s Office will review the requests for reallocated funds and recommend funding to implement SSSP core services. If the total requests for reallocated funds exceed the amount of unused funds available, then funding will be distributed equitably among the approved requests. Colleges may be contacted for verification of need prior to receiving an award letter. Late requests will not be accepted unless available funds exceed requests.

5. Colleges receiving reallocated funds will be expected to spend or encumber the 2014-15 funds by June 31, 2015. If the college determines they cannot expend the funds as requested, the funds are to be returned to the Chancellor’s Office for further reallocation. If a college proceeds to spend the reallocated funds for non-core services, the college will be required to return those funds and will not be eligible during the next fiscal year for reallocated funds.

Year-End Expenditures Report
Colleges are also required to submit the SSSP Year-End Expenditure Report. Separate reports must be completed for Credit and Noncredit SSSP and are due after the conclusion of the fiscal year by September 15, 2015. They include the actual expenditures of state funds and other resources to support the SSSP at the college.

Certification of Eligibility to Receive Noncredit SSSP Funds
All colleges that offer noncredit programs must certify their eligibility on an annual basis to receive noncredit SSSP funds by submitting the Certification of Eligibility to Receive Noncredit SSSP Funds. This information will be used to determine which colleges will receive an allocation of the noncredit SSSP funding for the next fiscal year.

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6 http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Forms.aspx
7 http://extranet.cccco.edu/Divisions/StudentServices/Matriculation/Forms.aspx
Management Information Systems (MIS) Data Reporting

Student success data reported through the California Community Colleges Management Information System (MIS) must be accurate and complete to be used for institutional and statewide research efforts and inform vital policy and budget discussions. Below is a list of the credit and noncredit student success (SS) data elements to be reported. For complete explanations of each element, and the appropriate coding into the MIS, please refer to the Chancellor’s Office Data Element Dictionary under “Student Success Data Elements.”

SS01 STUDENT EDUCATIONAL GOAL
SS02 STUDENT COURSE OF STUDY
SS03 STUDENT INITIAL ORIENTATION EXEMPT STATUS
SS04 STUDENT INITIAL ASSESSMENT EXEMPT STATUS
SS05 STUDENT EDUCATION PLAN EXEMPT STATUS
SS06 STUDENT INITIAL ORIENTATION SERVICES
SS07 STUDENT INITIAL ASSESSMENT SERVICES PLACEMENT
SS08 STUDENT COUNSELING/ADVISEMENT SERVICES
SS09 STUDENT EDUCATION PLAN
SS10 STUDENT ACADEMIC-PROGRESS PROBATION SERVICE
SS11 STUDENT SUCCESS OTHER SERVICES

In addition to the specific student success elements (SS01-SS11), colleges must also report information in the MIS on student assessment tests administered during the prior year. The information below is essential in determining which services students need. More detailed information on these elements can be found on the Technology, Research and Information Systems (TRIS) website.

SA01 STUDENT ASSESSMENT INSTRUMENT
SA03 STUDENT-ASSESSMENT-ACCOMMODATION
SA04 STUDENT ASSESSMENT PURPOSE
SA05 STUDENT ASSESSMENT DATE

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8 http://extranet.cccco.edu/Divisions/TechResearchInfoSys/MIS/DED/StudentSuccess.aspx