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Residence; *Postsecondary Education; *School
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Experience; Student Financial Aid; Student Records;
*Vocabulary

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ABSTRACT A handbook of terms and definitions for describing
students in postsecondary education includes technical and vocational
schools as well as various forms of adult education and
nontraditional study. Input was gathered from 40 national
organizations and 29 federal agencies; 20 organizations and agencies
provided field test sites. The guide's chapters include (1) an
introduction, (2) student information items, and (3) data management
and confidentiality of postsecondary student data. Its objective is
to encourage standardization in the use of terms and definitions by
the numerous agencies, institutions, and organizations that provide,
set policy for, support, and/or regulate postsecondary education.
Postsecondary data elements are organized according to three major
classification divisions: demographic and biographical
characteristics, student's educational experience, and student's
employment experience. These divisions contain the information items
most needed at various levels of postsecondary education organization
for purposes of policy-making, or for planning, managing, operating,
and evaluating postsecondary programs and/or institutions. The main
divisions of the classification are also subdivided, and data
elements within these subdivisions are combined with personal
qualifiers to form information items that may be used to identify a
person (e.g., student and family characteristics) and to describe
various personal characteristics of that individual, for example.
Additionally, general technical principles and procedures for
safeguarding the confidentiality of student data are considered. The
14 appendices include: information item tables, information about
uses of data elements about postsecondary students, codes for states
and countries, fields of study and languages, standard occupational
classification system, and information about relevant legislation.
Postsecondary Student Terminology:
A Handbook of Terms and Definitions for Describing Students in Postsecondary Education
by
John F. Putnam
National Center for Education Statistics
"The purpose of the Center shall be to collect and disseminate statistics and other data related to education in the United States and in other nations. The Center shall collect, collate, and, from time to time, report full and complete statistics on the conditions of education in the United States, conduct and publish reports on specialized analyses of the meaning and significance of such statistics, and review and report on education activities in foreign countries."—Section 406(b) of the General Education Provisions Act, as amended (20 U.S.C. 1221e-1).

"The Secretary shall, insofar as practicable, develop standard definitions and terms to be used by all Federal agencies in dealing with education-related information and data acquisition requests."—Section 400 A. (d)(1) of the General Education Provisions Act, as amended (20 U.S.C. 1221e-1).

Drafts of this manuscript were developed by Government Studies and Systems, Inc. under contract No. OEC-0-74-9264 with the National Center for Education Statistics. Jerome Ackerman served as Project Director.
FOREWORD

This handbook is a resource publication designed to encourage standardization in the use of terms and definitions by the numerous agencies, institutions, and organizations which provide, set policy for, support, and/or regulate postsecondary education. Although recent years have seen several successful attempts to develop terminology systems for college and university students, this handbook reflects the first major effort to organize and consolidate terminology for the full range of postsecondary students, including technical and vocational school students as well as students engaged in various forms of adult education and nontraditional study.

Contained in the handbook are terms and definitions for data elements and qualifiers. The handbook also contains narrative sections designed to facilitate the adoption of the terminology in information systems and to provide guidelines for protecting the confidentiality of student records. It is anticipated that this handbook will assist planners, administrators, and other decisionmakers by providing a common language which can contribute to a higher quality of data and to more efficient information management. Representing the best thinking of scores of persons knowledgeable in the field, the handbook is designed to expand, change, and grow as the field of postsecondary education itself embarks on an era of growth and change.

Development of the handbook resulted from a cooperative process. The National Center for Education Statistics (NCES), through a contract with Government Studies & Systems, Inc., coordinated the input of hundreds of persons directly involved in many aspects of postsecondary education throughout the Nation. An outline of procedures followed in the project—including mention of specific committees and panels—may be found in appendix L, pages 163-166.

While space does not permit the naming of all individuals and organizations contributing to this handbook, major participants are acknowledged on page iv and in appendix N, pages 169-186.

The project’s Planning Committee played a particularly significant role in refining project procedures and reviewing project materials. This committee was comprised of persons representing the following organizations:

Adult Education Association of the U.S.A.
American Association of Collegiate Registrars and Admissions Officers
American Association of Community and Junior Colleges
American Council on Education
American Vocational Association
Education Commission of the States
National Association of Trade and Technical Schools
National Center for Education Statistics
National Center for Higher Education Management Systems
National Vocational Guidance Association

Appreciation is expressed to these organizations and their representatives.

Marie D. Eldridge
Administrator, National Center for Education Statistics
March 1981
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Grateful acknowledgment is expressed for contributions made to the handbook by representatives of the following organizations:

National Organizations whose members served on project committees and as reviewers:

- American Association of Community and Junior Colleges
- American Association of State Colleges and Universities
- American College Personnel Association (APGA)
- The American College Testing Program
- American Council on Education
- American Educational Research Association
- American Personnel and Guidance Association
- American Society for Training and Development
- American Society of Allied Health Professions
- American Vocational Association, Inc. (postsecondary department)
- American Vocational Education Research Association (AVA)
- The Association for Institutional Research
- Association of American Colleges
- Association of American Universities
- Association of Independent Colleges and Schools
- College Entrance Examination Board
- Council of Graduate Schools in the United States
- The Council on Postsecondary Accreditation
- Education Commission of the States
- Educational Testing Service
- Engineers' Council for Professional Development
- National Association for Foreign Student Affairs
- National Association of College and University Attorneys
- National Association of College and University Business Officers
- National Association of State Budget Officers
- National Association of State Scholarship Programs
- The National Association of State Universitites and Land-Grant Colleges
- National Association of Student Financial Aid Administrators
- National Association of Student Personnel Administrators
- National Association of Trade and Technical Schools
- National Center for Higher Education Management Systems
- National Coordinating Council for Vocational Student Organizations
- National Council of State Directors of Community and Junior Colleges
- National Home Study Council
- National Student Association
- National University Extension Association
- American Association of Collegiate Registrars and Admissions Officers
- American Association of Community and Junior Colleges
- American Association of State Colleges and Universities
- American College Personnel Association (APGA)
- The American College Testing Program
- American Council on Education
- American Educational Research Association
- American Personnel and Guidance Association
- American Society for Training and Development
- American Society of Allied Health Professions
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- American Vocational Education Research Association (AVA)
- The Association for Institutional Research
- Association of American Colleges
- Association of American Universities
- Association of Independent Colleges and Schools
- College Entrance Examination Board
- Council of Graduate Schools in the United States
- The Council on Postsecondary Accreditation
- Education Commission of the States
- Educational Testing Service

The names of participating individuals are listed in appendix N.
Federal Agencies that participated in the development and review of project materials:

*National Science Foundation
Office for Civil Rights, HEW
Office of Education, HEW
Office of General Counsel—Education, HEW
Office of the Assistant Secretary for Education, HEW
Office of the Assistant Secretary for Planning and Evaluation, HEW
Social and Rehabilitation Service, HEW
U.S. Civil Service Commission
U.S. Department of Agriculture
U.S. Department of Defense
U.S. Department of Housing and Urban Development
U.S. Department of State
U.S. Energy Research and Development Administration
Veterans Administration

Organizations and Agencies that provided field test sites:

Lincoln Technical School
Mercy College of Detroit
Milwaukee Area Technical College
National Center for Educational Statistics, HEW
Office of the Administrator
Division of Multi-Level Statistics
Division of Postsecondary and Vocational Education Statistics
Adult and Vocational Education Surveys Branch
Higher Education Surveys Branch
New Jersey State Department of Education, Division of Vocational Education
New Jersey State Department of Higher Education
Ocean County (N.J.) Vocational-Technical School
Ohio Board of Regents

Ohio State Department of Education, Division of Vocational Education
The Ohio State University
Penna Technical School of Electronics
Philadelphia School of Office Training
Thomas Jefferson University, College of Allied Health Sciences
U.S. Office of Education, HEW
Bureau of Education for the Handicapped
Bureau of Occupational and Adult Education
Bureau of Postsecondary Education
Office of Guaranteed Student Loans
Office of Planning, Budgeting, and Evaluation
The University of Pennsylvania
Wilfred Academy of Hair and Beauty Culture
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Chapter 1

INTRODUCTION

This handbook is designed to serve as a resource for decisionmakers and other persons in that community of organizations which provides, assists, influences, plans, coordinates, and/or studies postsecondary education in the United States. It was produced to encourage standardization of terminology in postsecondary education communications, with a view to enhancing the quality and efficiency of decisions. The handbook contains a listing of postsecondary student information items, their constituent data elements, and their definitions. The items included are those most frequently used in describing postsecondary students and potential postsecondary students, primarily in connection with educational planning and administration.

The primary audience for this handbook includes persons involved in planning, supporting, providing, and administering postsecondary education. This group also embraces the staffs of postsecondary institutions, professional organizations, and other educational agencies or institutions, including persons in Federal, State, and local governmental or quasi-governmental agencies, boards, and commissions.

The materials selected for inclusion in this document are intended to anticipate many of the student descriptors used by members of the target audience; however, such a document cannot be all-inclusive. Specific information needs can best be determined by the institution or organization itself, according to its policies, procedures, and decisionmaking approaches. Even within an institution, the selection of specific data elements for describing students may differ.

Thus, it is not the intention of this handbook to dictate information needs. It is expected, rather, that once these needs have been identified, a user may employ the handbook to translate the needs into terms and definitions of acceptable (or "standard") data elements, and, then into information items which will clarify, and strengthen the data gathering process.

The definitions in this handbook cannot and do not take precedence over those mandated by Federal and/or State legislation. It is hoped, however, that this publication will influence the development of terminology and definitions used in future legislation and regulations. In addition, the handbook is expected to serve as a guide to Federal agencies in preparing communications and data requests about postsecondary students. Institutions which adopt the handbook's terminology should be able to respond more easily to Federal reporting requests.

This handbook is intended to allow persons responsible for the design and operation of recordkeeping and reporting systems an opportunity to review their terminology in terms not only of this handbook but also of relevant legislation and regulations and, to the degree feasible, to adopt the "standard" terms and definitions presented here.

BENEFITS OF STANDARDIZED TERMINOLOGY

Many benefits may be derived from the voluntary implementation of standardized terms and consistent definitions about students. Standardization or agreement on vocabulary can be regarded as the minimum requirement for effective communication within and among organizations committed to postsecondary education. The strengthened communication which will result from standardization will have significant impact on the quality of education as a whole by facilitating sharper evaluation and by making possible more effec-
tive, planning and a better selection of educational programs and policies for the future.

In addition, benefits are expected to result from: 1) improved comparability of statistical information, 2) reduced reporting burdens, and 3) improved appraisal of student records.

1. Improved Comparability of Statistical Information

Planners, policymakers, and other data users require comparable statistical information about students (e.g., distribution of full-time enrollment by racial/ethnic group, by type of institution; or average financial aid per student, by type of institution). To ensure that these statistics are comparable, the information items used to record and report these data must be consistently defined and interpreted. This handbook provides terms and definitions which can be used across the country in collecting uniform data and in reporting comparable information about students in postsecondary education. Moreover, the use of the information items, terms, and definitions which are presented in this handbook promotes consistent recording and reporting of information among the various units of a single institution or agency.

2. Reduced Reporting Burdens

The use of standardized terms can lighten a continuing burden for suppliers of educational data. Even though student data exist in great volume in all postsecondary educational institutions and in local, State, and Federal agencies, they tend to be accumulated and filed by so many different means that requestors of information frequently cannot be satisfied, even though the data they require may exist in some form. It may be difficult for one information user to retrieve or interpret another's data without costly and tedious conversion, imputation, or special surveys. Even organizational units within a single institution frequently use different definitions for key student descriptors, thereby frustrating effective use of existing data, and making routine statistical reporting burdensome.

By offering a common language, therefore, this handbook will help to standardize the meanings of terms regularly utilized in required surveys and reports. Such standardization will help reduce the burden on the supplier and will minimize problems in interpreting and responding to data requests. This handbook is intended to be the source of terms and definitions for the National Center for Education Statistics (NCES) in collecting data about students in postsecondary education.

Centralized data banks are now being developed by State and Federal agencies which contain statistical data about education in the United States. The combined use of standardized terminology and central data banks at State and national levels will result in: 1) the availability of education data based upon known standardized terms and definitions and in a known format which may be transmitted directly to users, and 2) a reduction in the number of data collection requests directed to postsecondary educational institutions, thereby easing the institutions' reporting burdens.

3. Improved Appraisal of Student Records

Communication of information about students is essential to legislators, administrators, planners, and policymakers in institutions, agencies, and organizations concerned with various aspects of postsecondary education. Information is often needed about an individual, as in the case of a person applying to an institution for admission or for financial aid, seeking to transfer, or being considered for an honors award. Information is also needed about groups of students in order to plan and establish programs, plan and project resource requirements, evaluate programs, and allocate, budget, and disburse funds. This handbook, by presenting a basic terminology, provides the common language necessary for effective communication and reporting about postsecondary students.

The extensive implementation and use of the terminology in this handbook will result in improved appraisal of student records by:

- facilitating the collection of significant postsecondary student data at all levels of educational management (local, State, and national),

For example, educational researchers and policymakers can obtain timely statistics concerning education in the United States through EDSTAT, a service of the National Center for Education Statistics (NCES). EDSTAT comprises large data bases (with a total of several hundred million characters of educational data) which can be accessed via remote computer terminals throughout the United States. In addition, EDSTAT maintains a library of computer tapes containing education data collected by NCES and other public agencies. For further information, write: EDSTAT, National Center for Education Statistics, 400 Maryland Avenue SW., Washington, D.C. 20202.
INTRODUCTION

- promoting accurate interpretation of student records and reports, and
- assisting in the accurate and timely communication of data about students.

SOME BASIC DEFINITIONS IN POSTSECONDARY EDUCATION

Four terms and their definitions are basic to the purposes and uses of this handbook: "postsecondary education institution," "postsecondary student," "postsecondary student data," and "postsecondary education." These four definitions are interrelated, and should be considered as a group in order to be fully understood.

A postsecondary education institution is defined as an academic, vocational, technical, home study, business, professional, or other school, college or university—or other organization or person—offering educational credentials or offering instruction or educational services (primarily to persons who have completed or terminated their secondary education or who are beyond the age of compulsory school attendance), for attainment of educational, professional, or vocational objectives. Postsecondary education institutions may be classified as either publicly or privately controlled; the privately controlled group includes two major categories: private nonprofit schools, and proprietary schools.

Postsecondary education institutions may be grouped in the following manner, regardless of their source(s) of funding or their method(s) of delivering instruction:

- universities, colleges, and other educational institutions offering programs leading to bachelor's, master's, first-professional, and/or doctor's degrees;
- community/junior colleges and other 2-year educational institutions offering programs leading to associate degrees, diplomas, certificates of completion, and/or their equivalents;
- vocational-technical schools, technical institutes, business schools, flight schools, cosmetology/barber schools, trade schools, hospital schools, and other schools offering occupational training programs, frequently leading to diplomas or certificates; and
- other training sources providing instruction in a program of postsecondary education, including local education agencies, business organizations, labor unions, professional organizations, religious organizations, museums, libraries, and individuals, but only when such education is offered to the general public.

A postsecondary student, for purposes of this handbook, is defined as a person for whose instruction is provided in postsecondary education (as defined below) under the auspices of a postsecondary education institution (as defined above). Such instruction may be provided by direct student-teacher interaction or by some other medium such as television, radio, telephone, or correspondence.

Postsecondary student data, in this handbook, includes information about individuals who have sought admission to a postsecondary education institution, currently are postsecondary students, or previously have been postsecondary students.

It is expected that most student data collected will be concerned with those students who have requested admission and are currently registered at an institution, or who have terminated attendance. Information on those applicants who have been rejected by an institution—or who have been admitted but did not attend—also may be desired: for this reason the definition of student data is broad enough to describe applicants to an institution, whether or not they subsequently attend. The context of a given report, the data element, and the qualifier usually provide sufficient information to determine whether the student data being reported refer to an applicant, a current student, or a former student.

Postsecondary education includes all instruction provided for persons who have completed secondary education or who have discontinued secondary education and are beyond the age of compulsory school attendance.

2 This is, essentially, the definition of postsecondary educational institutions endorsed by the Federal Interagency Committee on Education and published in "Definition of Postsecondary Educational Institution," FICE Report, vol. 1, no. 3 (June 1974). Furthermore, the "attainment of educational, professional, or vocational objectives" can be interpreted as including personal or avocational objectives.

3 While this handbook is designed to provide descriptions for persons (students) receiving instruction in situations open to the public, the concepts and terms may apply also to persons receiving instruction in other situations.

4 A discussion of data elements, qualifiers, and information items is included in the introduction to chapter 2.
CRITERIA FOR INCLUDING INFORMATION ITEMS IN THE HANDBOOK

Three operating rules regarding information items were developed, which, when taken together, comprised the criteria used for determining which information items are included in this handbook. These three rules are listed below, followed by the criteria.

**Rule 1**

The information item is directly related to persons who may participate, are participating, or have participated in postsecondary education, and is generally used by postsecondary educational institutions to describe the education status, activities, and performance of these persons for purposes such as planning, managing, researching, and evaluating educational programs.

**Rule 2**

The information item is among the most frequently used items needed for communicating about individual students or about groups of students within and among postsecondary educational institutions, with other educational institutions and organizations, or with agencies of Federal, State, and local governments with which postsecondary educational institutions interact.

**Rule 3**

The information item is important for the analysis of those major issues facing postsecondary education in which data about students are necessary for evaluations and forecasts and for the development of educational plans and programs.

Using these rules in combination, an information item (and its constituent data element and qualifier) was selected for inclusion in this handbook if it satisfied either of the following criteria:

**Criteria for Inclusion**

- The information item satisfies Rule 1 (it is needed to describe students) AND Rule 2 (it is frequently communicated externally); or
- The information item satisfies Rule 1 (it is needed to describe students) AND Rule 3 (it is needed for the analysis of major postsecondary educational issues). In this case, the information is not necessarily communicated at the present time, but has a high probability of being reported and exchanged in the near future.

SYSTEM OF DATA ELEMENTS, QUALIFIERS, AND INFORMATION ITEMS

There is an important distinction between information items and the data elements and qualifiers of which they are constituted. The data elements and qualifiers are the building blocks for information items, and a relatively small set of data elements and qualifiers can be used to generate a large set of information items. Data elements and qualifiers are described in chapter 2, and appropriate information items are shown with each data element. In appendix A, data elements and information items are listed and categorized in tabular format. The distinction between data elements and qualifiers is discussed in the introduction to chapter 2.

CLASSIFICATION OF DATA ELEMENTS AND INFORMATION ITEMS

To aid users of the handbook in locating data elements and information items, the data elements in chapter 2 and the information items in appendix A are organized according to the same classification structure and follow an identical sequence and numbering system. The classification structure is presented in figure 1.

CONFIDENTIALITY

Because the privacy of students must be protected, it is necessary for educational institutions and agencies to regulate carefully: (1) the kinds of data included in students' records, (2) the procedures for reviewing, verifying, and correcting student records, and (3) the conditions, if any, under which portions of these records may be communicated to others. Further, agencies must establish policies for the use and disposition of student data in conformance with applicable laws.
### FIGURE 1 – CLASSIFICATION STRUCTURE: DATA ELEMENTS AND INFORMATION ITEMS

<table>
<thead>
<tr>
<th>Classification Structure</th>
<th>Data Elements Defined on Pages Numbered</th>
<th>Information Items Classified on Pages Numbered</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS</td>
<td>(12-29)</td>
<td>(80-87)</td>
</tr>
<tr>
<td>11 PERSONAL IDENTIFICATION AND CHARACTERISTICS</td>
<td>12-22</td>
<td>81-83</td>
</tr>
<tr>
<td>12 RESIDENCE</td>
<td>22-24</td>
<td>84</td>
</tr>
<tr>
<td>13 EDUCATIONAL/OCCUPATIONAL ASPIRATIONS</td>
<td>24-25</td>
<td>85</td>
</tr>
<tr>
<td>14 FINANCIAL INFORMATION</td>
<td>26-29</td>
<td>86-87</td>
</tr>
<tr>
<td>2 STUDENT'S EDUCATIONAL EXPERIENCE</td>
<td>(32-61)</td>
<td>(88-99)</td>
</tr>
<tr>
<td>21 INSTITUTIONAL IDENTIFICATION</td>
<td>32-33</td>
<td>89</td>
</tr>
<tr>
<td>22 ADMISSIONS</td>
<td>33-36</td>
<td>90</td>
</tr>
<tr>
<td>23 FINANCING STUDENT'S POST-SECONDARY EDUCATION</td>
<td>36-43</td>
<td>91-93</td>
</tr>
<tr>
<td>24 REGISTRATION</td>
<td>43-51</td>
<td>94-95</td>
</tr>
<tr>
<td>25 PARTICIPATION/PERFORMANCE</td>
<td>51-59</td>
<td>96-98</td>
</tr>
<tr>
<td>26 TERMINATION</td>
<td>60-61</td>
<td>99</td>
</tr>
<tr>
<td>3 STUDENT'S EMPLOYMENT EXPERIENCE</td>
<td>(63-69)</td>
<td>(100-102)</td>
</tr>
<tr>
<td>31 EMPLOYMENT EXPERIENCE</td>
<td>63-66</td>
<td>101</td>
</tr>
<tr>
<td>32 U.S. MILITARY SERVICE EXPERIENCE</td>
<td>66-69</td>
<td>102</td>
</tr>
</tbody>
</table>
and regulations. Procedures for collection, maintenance, and disclosure of postsecondary student data to safeguard confidentiality are recommended in chapter 3.

**RELATIONSHIP OF HANDBOOK TO POSTSECONDARY EDUCATION ISSUES**

Part of the effort to develop this handbook included the identification of some of the most important student-related issues which concern policymakers and planners in postsecondary education. A consideration of the information required to address these issues, to form policies, and to develop solutions for problems guided the selection of certain information items for inclusion. A brief discussion of the issues and of certain activities that were performed in preparation for the development of the handbook is included in appendix L, pages 163-166.

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Chapter 2

STUDENT INFORMATION ITEMS

This chapter contains terms and definitions for data elements and qualifiers. Listed for each data element are the information items formed by combining the data element with appropriate qualifiers. These information items meet the basic criteria for inclusion as specified in chapter 1, pages 4 and 5. A reference guide to information items appears in appendix A, pages 79-102.

In this chapter, qualifiers are discussed and defined first, beginning on page 8. Definitions for the data elements start on page 12. Explanatory notes and examples are included with many of the definitions. References are also made to related terms or to the appendixes in the handbook.

Mutually exclusive multiple choice responses are provided for many data elements. For example, the data element "sex" has the multiple choice responses of "male" and "female." Multiple choice responses for a data element are defined where deemed necessary. In some instances, multiple choice responses are not provided. Data elements without multiple choice responses include cases where the response consists of a number, proper noun, or a phrase (such as "election to Phi Beta Kappa").

When reviewing and interpreting the terms and definitions of this chapter, postsecondary education institutions and organizations should take into account existing Federal, State, and local laws and regulations for reporting educational data, as well as their own data needs.

The definitions of this chapter are not intended to replace legislated definitions. However, it is anticipated that this handbook will influence the definitions and the terms introduced in future legislation.

CLASSIFICATION OF DATA ELEMENTS

The postsecondary student data elements defined in this chapter are organized according to three major classification divisions. (Each of these divisions is described on the page noted below.)

DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS (page 12)

STUDENT'S EDUCATIONAL EXPERIENCE (page 32)

STUDENT'S EMPLOYMENT EXPERIENCE (page 63)

These divisions contain the information items most needed at various levels of postsecondary education organization for purposes of policymaking, for planning, managing, operating, and evaluating postsecondary programs and/or institutions.

DEFINITIONS FOR DATA ELEMENT, QUALIFIER, AND RELATED TERMS

A term is one or more words representing a concept; a definition is a brief narrative describing the concept. Terms have been selected so as to be descriptive of concepts, but it is necessary to refer to the definition for the exact meaning. For example, reference to the definition for the commonly used term "local
address” indicates that, in the context of this handbook this term is meant to apply only to a student’s address while in attendance at a particular postsecondary institution.

An attribute is a single characteristic or quality of an entity such as a student. This may be a data element requiring a single-element completion response (such as legal name, birth date, or permanent address) or a categorical subdivision of a data element (such as Black, female, or married).

A data element, consisting of a term and a definition, is the smallest defined unit of information comprising an attribute or a set of related attributes for describing an entity such as a student. Conceptually, this is a field (in a data base) which is not aggregated. As a single attribute (e.g., legal name, birth date, and permanent address), a data element requires a single-element completion response. As a set of related attributes (e.g., racial/ethnic group, sex, and marital status), a data element is complete (i.e., it covers all possibilities) and incorporates mutually exclusive alternate choices.

A qualifier consists of a term and related definition which determines the application of a data element. For example, when the data element “legal name” is modified by the qualifier “student,” the application of the data element is restricted to data concerning the student. In this way, the information item “student’s legal name” is formed. See pages 8 and 9 for a discussion of the appropriate use of qualifiers for each of the classification divisions.

An information item refers to the combination of a data element and a qualifier, which together identify a specific unit of data which can be used to describe a postsecondary student. For example, “student’s legal name” and “student’s local address” are two information items pertaining to the identification and residence of a student, respectively. The definition of an information item can be constructed by referring to the definitions in this chapter of the component data element and qualifier. The applicability of such derived definitions for information items has been tested only for the items presented in this chapter.

The system of data elements, qualifiers, and information items used in this handbook meets the following basic objectives:

- redundant definitions are substantially reduced; each data element and qualifier is defined once, rather than each time the data element or qualifier appears in an information item,
- diverse information needs can be based on a relatively small set of common data elements and qualifiers, and
- many information items can be generated by manipulating a small set of data elements and qualifiers, without the need to develop new definitions.

USE OF QUALIFIERS

Specific sets of qualifiers are associated with each division of the classification structure. It is assumed that only “current” data are required in relation to the DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS division. Therefore, only the personal qualifiers “student,” “female parent,” “male parent,” “parents,” and “spouse” are shown for this division.

In the second division, STUDENT’S EDUCATIONAL EXPERIENCE, the institutional qualifiers act to establish a time-frame. Personal qualifiers are not necessary since all items in this section describe the student.

In the third division, STUDENT’S EMPLOYMENT EXPERIENCE, the time-frame qualifiers “previous,” “current,” and “subsequent” act to distinguish employment which has been completed from that which is still continuing, or which occurs after the individual has left a given postsecondary institution. Information items modified by the qualifier “subsequent” denote student outcome information limited to employment and educational experience as it is assumed that institutions and agencies are frequently interested in certain aspects of student’s experience subsequent to having attended the institution.

Information items which deal with events occurring prior to a student’s enrollment at the institution collecting data (e.g., experiences in “secondary” or “previous postsecondary” institutions and “previous employment or military service”) may be repeated in a student record as often as required in order to collect all relevant information. For example, “formal award received at previous postsecondary institution” may be recorded in the student record for every previous postsecondary institution a student has attended.

DEFINITIONS OF INDIVIDUAL QUALIFIERS

Data elements are combined with qualifiers to form information items. In the case of the personal quali-
STUDENT INFORMATION ITEMS

Personal Qualifiers

_Postsecondary_ Student—A person for whom instruction is provided in postsecondary education under the auspices of a postsecondary education institution (see chapter 1, page 3). Such persons generally have completed or discontinued their secondary education and are beyond the age of compulsory school attendance. A student may receive instruction by direct-student-teacher-interaction or by some other medium such as television, radio, telephone, or correspondence. _Postsecondary student data_ includes information about persons who have sought admission to a postsecondary educational institution, currently are postsecondary students, or previously have been postsecondary students.

_Female Parent_—A student's current female parent, by natural parentage or by legal determination (e.g., adoption or guardianship). See RELATIONSHIP TO STUDENT, page 16, for the specific relationship of the Female Parent to the student.

_Male Parent_—A student's current male parent, by natural parentage or by legal determination (e.g., adoption or guardianship). See RELATIONSHIP TO STUDENT, page 15; for the specific relationship of the Male Parent to the student.

_Parents_—A student's current female parent _and_ male parent, by natural parentage or by legal determination. The qualifier "parents" is included because information items concerning certain aspects of the parents' combined situation sometimes are required, rather than about an individual parent. In some cases separate responses from a female parent and a male parent might be impossible and/or might produce duplication of data. For example, "amount of female parent's assets" plus "amount of male parent's assets" might produce duplication if assets are held in both names. Even if assets are in separate names, "amount of parents' assets" will provide the appropriate aggregation. For most financial uses the female/male parent distinction is unnecessary.

Spouse—The person to whom the student is legally married.

Institutional Qualifiers

_Current Postsecondary Institution_ (CPI)—The postsecondary education institution which collects and provides data about a student.

_Previous Postsecondary Institution_ (PPI)—Any postsecondary education institution which a student attended previous to attendance at an institution collecting data about the student. See the definition of postsecondary institution in chapter 1, page 3.

_Subsequent Postsecondary Institution_ (SPI)—Any postsecondary education institution attended by a student after he/she terminated attendance at an institution collecting data about the student.

_Secondary School_—Any secondary school attended by a student. A secondary school is a school comprising any span of grades beginning with the next grade following an elementary or middle school and ending with or below grade 12. Institutional information about junior high schools attended by a student should be reported using the qualifier "secondary." It is necessary, that Secondary School be defined within these parameters in accordance with each State's relevant legislation. Any transmittal of information regarding Secondary School must be accompanied with a specific statement as to the grades encompassed (e.g., grades 9 through 12).

Time-Frame Qualifiers

_Current_—A reference to events or situations occurring (or having occurred) concurrently with a student's educational activity at an institution collecting data about the student. Where necessary, the events and situations occurring within this time-frame may be further clarified by specifying, for example, a given year, semester, or date.

_Previous_—A reference to events or situations which took place prior to a student's experience at an institution collecting data about the student.

_Subsequent_—A reference to events or situations occurring after a student leaves an institution collecting data about the student.

1Where necessary, the qualifiers "Elementary School" and "Middle School" may be used, but only when these have been specifically defined. See appendix B, page 103, for a discussion of institutional qualifiers.

2See appendix B, page 103, for a discussion of time-frame qualifiers.
NUMERIC CODING OF DATA ELEMENTS

Each term which represents a data element or data element group has been assigned a number. This number indicates (1) the data element group or subgroup of which the data element is a subdivision and (2) the level of detail. The level of detail is indicated by the number of digits in the number, as follows:

X  MAJOR CLASSIFICATION
XX  First level of detail (principal segment of the major classification)
XX XX  Second level of detail (division of the principal segment of the major classification)
XX XX XO  Third level of detail (subdivision of the division of the principal segment of the major classification)
XX XX XX  Fourth level of detail
XX XX XX XX  Mutually-exclusive subdivision of a data element

(Note: The space between sets of digits is used only to aid the visual determination of level of detail; its use is not required.)

Mutually-exclusive, multiple-choice subdivisions of data elements are indicated by the use of a decimal point followed by two digits. These two digits may be used or adapted for use as a code.
The inclusion of a data element does not imply that data must be collected for the data element. Factors such as the nature, and specificity of information needs, availability of data, and confidentiality of student data should be considered in determining whether, when, and how to collect data.
1 Demographic and Biographical Characteristics

This major division of the classification consists of four subdivisions:

- Personal Identification and Characteristics
- Residence
- Educational/Occupational Aspirations
- Financial Information

Data elements within these subdivisions are combined with personal qualifiers to form information items which may be used to identify a person and to describe his/her socioeconomic background and aspirations. See page 9 for the personal qualifiers and their definitions. Also refer to appendix A, pages 80-87 for a tabular presentation of information items formed by combining the data elements in this division with personal qualifiers.

11 PERSONAL IDENTIFICATION AND CHARACTERISTICS

Data elements in this section, when combined with personal qualifiers, form information items that can be used to identify a person, (e.g., a student, his/her parents, or his/her spouse) and to describe various personal characteristics of that individual:

11 01 NAME

The legal name and any other name by which a person is known or may have been known.

11 01 10 Legal Name

The full legal name of a person, including last (or family) name, first (or given) name, and middle (or other) name, and any appendage such as Jr., III, etc. For a married woman, this generally includes her current married name; her maiden name should be included below under “Any Other Name.” A hyphenated combination of maiden name and married name (e.g., Mary Beth Smith-Jones) should be included under this heading if it has legal status; otherwise, it should be included under “Any Other Name.”

Information Items:
- Student’s Legal Name
- Female Parent’s Legal Name
- Male Parent’s Legal Name
- Spouse’s Legal Name

11 01 20 Any Other Name

Any name, other than the legal name, by which a person is known or may have been known, including the maiden name of a married female, or the traditional tribal or clan name of an American Indian. This includes any name which previously may have been used at the current or any previous educational institution. In Samoa, the Matai name should be recorded here.

Information Item:
- Any Other Name of the Student

11 02 BIRTHDATE

The year, month, and day of a person’s birth as designated on his/her legal birth registration or certificate. See appendix D, page 117, for the standard format for coding calendar date.
STUDENT INFORMATION ITEMS

11.02 BIRTHDATE - Continued

Information Item:
- Student's Birthdate

11.03 BIRTHPLACE

The local governmental unit (e.g., city, county, township) and State, U.S. territory, or foreign country in which a person was born. See appendixes E and F, page 119 and pages 121-123, for standardized codes for states and countries.

Information Item:
- Student's Birthplace

11.04 DATE OF DEATH

The year, month, and day on which a person died. See appendix D, page 117, for the standard format for coding calendar date.

Information Items:
- Date of Student's Death
- Date of Female Parent's Death
- Date of Male Parent's Death

11.05 RACIAL/ETHNIC GROUP

A person's racial or ethnic heritage.

11.05.00.01 American Indian or Alaskan Native - A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

.02 Asian or Pacific Islander - A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, India, Japan, Korea, the Philippine Islands, and Samoa.

.03 Black - A person having origins in any of the black racial groups of Africa.

.04 Hispanic - A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

.05 White - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Information Item:
- Student's Racial/Ethnic Group

11.06 SEX

11.06.00.01 Male

See appendix B, pages 103-107, for a discussion of alternatives for recording and reporting RACIAL/ETHNIC GROUP.
Demographic and Biographical Characteristics—Continued

PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

SEX—Continued

Female

Information Item:
- Student's Sex

COUNTRY OF CITIZENSHIP

The country (or countries) of which a person is legally a citizen or national. If a person holds dual citizenship, both countries of citizenship may be listed and a preference may be specified. A person who is not legally a citizen of any country may specify "Stateless" in response to this information item. See pages 121-123 for the standardized codes for countries.

Information Item:
- Student's Country of Citizenship

CITIZENSHIP STATUS (WITHIN U.S.)

An indication of a person's citizenship status within the United States. For reporting purposes, the country of citizenship and/or the nonimmigrant visa type may be specified for a person classified as a nonimmigrant. See also COUNTRY OF CITIZENSHIP above. Also refer to pages 121-123 for standardized country codes and to page 135 for nonimmigrant visa types.

U.S. Citizen or U.S. National — A citizen of the United States, whether native born or naturalized; or in the case of a U.S. National, a person who is a citizen of the U.S. or a person who, though not a citizen, owes permanent allegiance to the U.S.

Immigrant (Permanent Resident) — An alien who has been lawfully admitted for permanent residence to the U.S. Such a person may stay for an indefinite period of time and is not compelled to become a naturalized citizen.

Applicant for Permanent Resident Status — A nonresident alien who has applied for permanent resident status and who can furnish proof that he or she is in the United States for more than a temporary purpose and intends to become a permanent resident (immigrant). Evidence of such intention may be either an Approval Notice of an Immigrant Visa Petition from the Immigration and Naturalization Service (INS) or other evidence from INS that the individual is an applicant for permanent resident status.

Nonimmigrant — An alien lawfully admitted to the U.S. who has come temporarily for the specific purpose of carrying out an activity or activities as permitted in the Immigration and Nationality Act, as amended. Refer to page 135 for categories of nonimmigrant visa types of particular interest to postsecondary institutions.

Parolee — An alien not otherwise admissible in any other way who is paroled into the U.S. At its discretion, INS may "parole in" an alien who, for example, is not admissible in any
Parolee—An alien whose entry into the U.S. was approved under Section 212(d)(5) of the Immigration and Naturalization Act. The Attorney General may, at his discretion, allow the entry of any alien for emergent reasons or for reasons deemed strictly in the public interest. Such persons may be paroled for an indefinite period, as is illustrated by the granting of such status in the 1970’s to many refugees from Vietnam, Cambodia, and Laos.

Refugee—An alien admitted into the U.S. as a "refugee" under provisions of the Refugee Act of 1980. Prior to 1980, such persons were "paroled into" the U.S. and referred to as "parolees." Since the effective date of the Refugee Act, they have been admitted pursuant to such Act and are classified as "refugees."

Stateless—The status of a person who does not owe allegiance to nor is entitled to the protection of any country or government.
Parolee-Continued

regular nonimmigrant category or an alien whose primary inspection at the port of entry reveals inadequate documentation. The authority to parole certain groups such as refugees rests with the Attorney General. Such persons may be paroled for an indefinite period, as is illustrated by the granting of such status in the 1970's to many refugees from Vietnam, Cambodia, and Laos.

Stateless — The status of a person who does not owe allegiance and is not entitled to the protection of any country or government.

Other Type of Citizenship Status (Specify)

Information Item:
— Student’s Citizenship Status

SOCIAL SECURITY NUMBER

The number assigned to a person by the U.S. Social Security Administration.5

Information Items:
— Student’s Social Security Number
— Female Parent’s Social Security Number
— Male Parent’s Social Security Number
— Spouse’s Social Security Number

STUDENT IDENTIFICATION NUMBER

The unique number (or configuration of characters) assigned to the student by the institution and used for identification and recordkeeping purposes. In some postsecondary institutions social security numbers are used as student identification numbers.

Information Item:
— Student’s Identification Number
— Spouse’s Student Identification Number (if in the same institution)

RELATIONSHIP TO STUDENT

The nature of the relationship of the male parent and/or the female parent to the student. Where more than one category is applicable, select the category with the lowest code number. See page 9 for definitions of male and female parents.

Male Parent

Father
— Stepfather
— Legal Male Guardian (other than father or stepfather)
— Foster Father
— Other Relationship (specify)

5Federal, State, or local governmental agencies cannot require an individual to disclose his/her social security number for use in maintaining a system of records that was not in existence as of January 1, 1975, unless mandatory disclosure is specifically authorized by Federal Statute. Any governmental request for disclosure of a person’s U.S. social security number must indicate whether such disclosure is mandatory or voluntary, by what statutory or other authority the U.S. social security number is solicited, and what uses will be made of it. (P.L. 93-579 (December 31, 1974) Privacy Act of 1974. 83 Stat. 1909.)
POSTSECONDARY STUDENT TERMINOLOGY

Demographic and Biographical Characteristics—Continued

PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

RELATIONSHIP TO STUDENT—Continued

Female Parent

Mother
Stepmother
Legal Female Guardian (other than mother or stepmother)
Foster Mother
Other Relationship (specify)

Information Items:
- Female Parent's Relationship to Student
- Male Parent's Relationship to Student

HIGHEST LEVEL OF EDUCATION COMPLETED

The extent of a person's formal education, as indicated by the highest grade or equivalent of elementary/secondary school completed or the highest formal award received. See appendix B, page 107, for a further discussion of this term. See page 56 for definitions of Formal Awards.

- No Formal Education
- Less Than Grade 8
- Grade 8
- Grade 9
- Grade 10
- Grade 11
- Grade 12, No Diploma
- Grade 12, Received High School Diploma
- Certificate of High School Equivalency
- Postsecondary Certificate or Diploma for Less Than 1 Year (equivalent to less than 1 year of full-time participation)
- Postsecondary Certificate or Diploma for 1 Year or More (equivalent to 1 year or more of full-time participation which does not result in a degree)
- Some College — No Certificate, Diploma, or Degree
- Associate Degree
- Bachelor's Degree
- First-Professional Degree
- Master's Degree
- Specialist's or Intermediate Degree
- Doctor's Degree

Information Items:
- Student's Highest Level of Education Completed
- Female Parent's Highest Level of Education Completed
- Male Parent's Highest Level of Education Completed

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*Full-time participation (referred to in categories .17 and .18) is discussed on pages 109-110 of appendix B.*
STUDENT INFORMATION ITEMS

OCCUPATION CATEGORY

The nature of the principal work currently performed by a person. The occupation classification categories given below represent the major divisions of the Standard Occupational Classification System (SOC). See pages 127-134 for the more detailed set of occupations in the SOC system.

Executive, Administrative, and Managerial Occupations
Engineers and Architects
Natural Scientists and Mathematicians
Social Scientists, Social Workers, Religious Workers, and Lawyers
Teachers, Librarians, and Counselors
Health Diagnosing and Treating Practitioners
Registered Nurses, Pharmacists, Dietitians, Therapists, and Physician's Assistants
Writers, Artists, Athletes, and Entertainers
Health Technologists and Technicians
Technologists and Technicians, Except Health
Marketing and Sales Occupations
Clerical Occupations
Service Occupations
Agricultural and Forestry Occupations, Fishers and Hunters
Construction and Extractive Occupations
Transportation and Material Moving Occupations
Mechanics and Repairers
Production Working Occupations
Material Handlers, Equipment Cleaners, and Laborers
Military Occupations
Miscellaneous Occupations

Information Items:
- Student's Occupation Category
- Female Parent's Occupation Category
- Male Parent's Occupation Category
- Spouse's Occupation Category

PROFESSIONAL CERTIFICATION/LICENSE(S)

A document(s) awarded to a person by an organization or agency—other than the postsecondary education institution—permitting that person to legally engage in a specific occupation or certifying a level of expertise in a given field. The name and/or type of certification/licensure may be specified, as well as the issuing organization, the effective dates, and the document number.

Information Items:
- Student's Professional Certification/Licensure

PROFICIENCY WITH ENGLISH

An indication of a person's ability to understand instruction in the English language. This includes the ability to read, write, and speak at a level which the institution regards as adequate.

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POSTSECONDARY STUDENT TERMINOLOGY

Demographic and Biographical Characteristics—Continued

PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued.

PROFICIENCY WITH ENGLISH—Continued

for pursuing a specific program of studies as offered by the institution. A description of the measure or criterion used to determine proficiency (e.g., name of placement test or Test of English as a Foreign Language (TOEFL)) should be included when this information is sent outside the institution.

Information Item:
— Student’s Proficiency With English

PRIMARY LANGUAGE

The language which a person uses and comprehends most easily.

Information Item:
— Student’s Primary Language

OTHER LANGUAGE(S) IN WHICH PROFICIENT

Any language(s) or dialect(s), excluding the primary language, in which the person has some degree of proficiency (i.e., speaking, reading and/or writing). Any such language or dialect should be specified.

Information Item:
— Other Language in Which Student is Proficient

MARITAL STATUS

The current legal status of a person with respect to marriage.

Information Item:
— Student’s Marital Status

Codes for languages are included in part III of appendix G on page 126.
Marital Status—Continued
- Male Parent's Marital Status
- Female Parent's Marital Status

DEPENDEY STATUS

An indication of the financial relationship of a student to his/her parents, identifying the student as either independent of, or dependent upon, his/her parents for purposes of determining eligibility for student financial assistance.

Independent or Self-Supporting Status — The status of a student who satisfies all three of the following conditions:

- Has not and will not be claimed as an exemption for Federal income tax purposes by any person except his/her spouse for the calendar year(s) in which aid is received and the calendar year immediately prior to the academic year for which aid is requested;
- Has not received and will not receive financial assistance of more than $1,000 from his/her parent(s) in the calendar year(s) in which aid is received and the calendar year immediately prior to the academic year for which aid is requested; and
- Has not lived or will not live for more than six weeks in the home of a parent during the calendar year in which aid is received and the calendar year immediately prior to the academic year for which aid is requested.

Dependent Status — The status of a student who does not meet all three of the conditions for independent or self-supporting status as defined above.

NOTE: These definitions for independent and dependent student status appear in the Federal regulations governing the Basic Educational Opportunity Grant, Supplemental Educational Opportunity Grant, College Work-Study, and National Direct Student Loan programs. For the Guaranteed Student Loan Program, these same rules are used with the exception that the criteria are applicable to the 12 months preceding the date of the application. For the State Student Incentive Grant Program, "independent or self-supporting student" means an independent or self-supporting student as defined by each State. The user is advised that these definitions are subject to change as legislation and Federal regulations are amended and/or approved, and that the regulations for other Federal, State, local and institutional programs may require other definitions of independent and dependent student status.

Information Item:
- Student's Dependency Status

Number of Dependents

The number of persons who are financially dependent on a given person. Unless stated otherwise, that person is included in the count of dependents if he/she is financially independent of others. See also DEPENDENCY STATUS above.

These definitions of dependency status appearing in OE/BSFA regulations are expected to remain in effect at least through June 30, 1981.

For permissible disclosure of student information to the parents of postsecondary students under the Family Educational Rights and Privacy Act (FERPA) of 1974, the test of dependency is considered to be met by the IRS definition as contained in Section 152 of the Internal Revenue Code of 1954.

45 C.F.R. 192.2 (1978 ed.)
POSTSECONDARY STUDENT TERMINOLOGY

Demographic and Biographical Characteristics—Continued

PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

DEPENDENCY STATUS—Continued

Number of Dependents—Continued

Information Items:
- Number of Student’s Dependents
- Number of Parents’ Dependents

Number of Dependents in Postsecondary Education Institutions

The number of persons who are financially dependent on an individual and who are registered to receive instruction in any postsecondary education institution.

Information Items:
- Number of Student’s Dependents in Postsecondary Institutions
- Number of Parents’ Dependents in Postsecondary Institutions

HANDICAP CATEGORY

As used in this handbook, an impairment is defined as an atypical physical, health, sensory, or mental condition which, without the use of any corrective device, may adversely affect a person’s educational performance. A handicap is seen as an impairment which is sufficiently severe as to adversely affect a person’s educational performance. A handicap category is used for aggregating and reporting information about students having a type of handicapping condition, as identified according to applicable State and Federal statutes and regulations.

The handicap categories presented in this handbook include those which are considered most appropriate in postsecondary education; that is, they may be used for counting postsecondary students with physical, health, sensory, and mental handicaps.

In recording data about students with multiple handicaps, students who are both visually and hearing handicapped should be separately identified. Other students with multiple handicaps should be identified in their primary handicap category and as multihandicapped; their second handicap category may be designated separately where appropriate.

Visually Handicapped

Persons who have a visual impairment which, even with correction, is sufficiently severe as to adversely affect their educational performance. A person identified as visually handicapped may be referred to as partially seeing or blind, according to the nature and severity of the handicap. See also DEAF-BLIND.

STUDENT INFORMATION ITEMS

11 20’00.10

Visually Handicapped—Continued

Partially Seeing—Persons who have severely impaired vision but have sufficient residual vision (with correction) to include the perception of printed materials as a means of learning.

Blind— Persons who are totally blind or who have such limited vision (even with correction) that they must rely on hearing and touch as their chief means of learning.

11 20’00.20

Hearing Handicapped

Persons having an auditory impairment sufficiently severe as to adversely affect their educational performance. A person identified as hearing handicapped may be referred to as hard of hearing or deaf, according to the nature and severity of the handicap. See also Deaf-Blind.

Hard of Hearing—Persons with a hearing impairment, whether permanent or fluctuating, which adversely affects their educational performance, but which is not so severe as to be included under the definition of deaf.

Deaf—Persons whose ability to process linguistic information through hearing, even with amplification, is so severely impaired as to adversely affect their educational performance. In effect, the hearing of such persons is non-functional for the purposes of educational performance.

11 20’00.30

Deaf-Blind

Persons having concomitant hearing and visual impairments, the combination of which causes such severe communication and other developmental and educational problems that such a person cannot be accommodated in special education programs solely for deaf persons or for blind persons. See also VISUALLY HANDICAPPED, HEARING HANDICAPPED, and MULTIHANDICAPPED.

11 20’00.40

Orthopedically Handicapped

Persons having an orthopedic impairment sufficiently severe as to adversely affect their educational performance. The term includes persons with impairments caused by congenital anomaly (e.g., clubfoot, absence of some member), impairments caused by disease (e.g., poliomyelitis, bone tuberculosis), and impairments from other causes (e.g., cerebral palsy, amputation, or fractures or burns which cause contractures).

11 20’00.50

Other Health Handicapped

Persons having a health impairment sufficiently severe as to adversely affect their educational performance. Such persons may be handicapped because of limited strength, vitality, or alertness due to chronic or acute health problems such as a heart condition, tuberculosis, rheumatic fever, nephritis, asthma, sickle cell anemia, hemophilia, epilepsy, lead poisoning, leukemia, or diabetes.

11 20’00.60

Speech Handicapped

Persons having a communication disorder—such as stuttering, impaired articulation, language impairment, or a voice impairment—that is sufficiently severe as to adversely affect their educational performance. Such a handicap should not be confused with a communication difficulty arising from lack of experience with the language of instruction. See also PROFICIENCY WITH ENGLISH, page 17.
POSTSECONDARY STUDENT TERMINOLOGY

Demographic and Biographical Characteristics—Continued

PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

HANDICAP CATEGORY—Continued

Mentally-Handicapped

Persons having a mental impairment—i.e., a mental or psychological disorder such as mental retardation, organic brain syndrome, emotional or mental illness, or specific learning disability(s)—of sufficient severity as to substantially limit one or more major life activities.13

Multihandicapped

Persons (such as the mentally retarded-blind and mentally retarded-orthopedically handicapped) having concomitant impairments the combination of which causes such severe educational problems that such a person cannot be accommodated in special education programs solely for one of the impairments. Deaf-blind persons should be identified in a separate category, rather than in this category. See also DEAF-BLIND.

Information Item:

— Student's Handicap Category

SPECIAL ASSISTANCE NEEDS (Specify)

A description of the specific type(s) of special assistance needed by a student whose participation in postsecondary education may be limited by a handicap. Examples of special assistance include modified facilities and equipment, such as wheelchair ramps, elevators, accessible toilets, and adapted transportation, and support services such as interpreters, readers, attendant assistance, and audiotapes of lectures.

Information Item:

— Student’s Special Assistance Needs

RESIDENCE

Data elements in this section, when combined with personal qualifiers, form information items which describe the residence addresses and locations where a person or persons reside. Both postal address and residential address should be specified where needed for data collection if they differ.

ADDRESS

The number of the location (including hotel name and room number, or apartment name and apartment number) and the names of the street, city, county or major political subdivision, and State, designating a residence or other location, and the ZIP code. The post office box number or rural route number and mail box number should be shown where used for mail delivery. If the name of the town where a person resides is different from his/her post office address, this fact should be indicated.

Permanent Address

The address of the place where a person has the highest probability of being contacted at any given time.

13 See definitions in the Rehabilitation Act of 1973, page 108 of appendix B.
STUDENT INFORMATION ITEMS

12 01 10
Permanent Address—Continued

Information Items:
— Student's Permanent Address
— Parent's Permanent Address

12 01 20
Legal Address

The address of the place which a student claims as his/her legal residence.

Any question concerning the accuracy of information provided for legal address must be resolved in each situation in accordance with applicable laws and regulations concerning legal residence.

Information Items:
— Student's Legal Address
— Parents' Legal Address

12 01 30
Local Address

The address (anticipated or actual) of a student's residence while in attendance at the post-secondary institution.

Information Item:
— Student's Local Address

12 02
TYPE OF HOUSING

Information about the structure identified by a student's local address.

12 02 00.01
Parent's Home — A residence in which a parent of a student or other family member is head of household.

.02
Institutionally-Operated Housing — A residence provided for students by the postsecondary education institution.

.03
Other Housing — Housing other than that included above. (This category may be further subdivided according to the data collector's or provider's needs.)

Information Item:
— Student's Type of Housing

12 03
RESIDENCY STATUS

A determination as to whether a person is legally a resident or non-resident of a specific geographic area.14 (Such determinations are usually made for purposes of deciding eligibility for admission, for financial aid, and/or for tuition to be charged.)

12 03 00.10
In-State

.11
In-District

.12
Out-of-District

14 Any questions concerning the accuracy of this response or the criteria involved in determining residency status must be determined in each situation in accordance with State law, local law, and/or institutional policy concerning legal residence.
POSTSECONDARY STUDENT TERMINOLOGY

Demographic and Biographical Characteristics—Continued

12 RESIDENCE—Continued

12 03 RESIDENCY STATUS—Continued

12 03 00.20 Other State or Outlying Area of the United States (Specify)^15
30 Out-of-Country (Specify)^15

Information Item:
— Student's Residency Status

12 04 DISTANCE BETWEEN LOCAL ADDRESS AND POSTSECONDARY INSTITUTION

The one-way distance, measured in miles or kilometers, that a person must travel between his/her local address and the place of postsecondary education instruction. The unit of measure should be specified when reporting this information.

Information Item:
— Distance Between Student's Local Address and Postsecondary Institution

13 EDUCATIONAL/OCCUPATIONAL ASPIRATIONS

Data elements in this section, when combined with the personal qualifier “student,” form items which may be used to provide information about a student's aspirations with respect to future education and career. Educational aspirations are expressed by the type of formal award a student seeks or his/her objectives in attending a postsecondary institution, while career/occupation aspirations are expressed in terms of broad occupational categories.

13 01 OBJECTIVE IN ATTENDING POSTSECONDARY EDUCATION INSTITUTION

The principal objective, apart from a desire to receive a specific formal award, which prompted a person to attend a postsecondary institution. See also HIGHEST FORMAL AWARD SOUGHT, page 25.

13 01 00.10 Career-Related Objective

.11 To permit entry into a career
.12 To permit entry into further career-related education
.13 To improve current career performance
.14 To obtain certification/licensure in a specific field
.17 To maintain currency of certification/licensure
.19 Other career-related objective (specify)

Noncareer-Related Objective

.20 To participate in the education process itself
.21 To gain knowledge in an area of interest
.23 To improve basic communications skills
.24 To learn to improve avocational skills
.25 To enrich home and family life skills
.26 To improve social or community participation skills

^15Institutions may use the category “reciprocal residency agreement” to identify students from other States with which special reciprocal exchange agreements/contracts for admissions, tuition, and fees, and financial aid are in effect. These students may also be described by specifying the State of residency. See appendix E, page 119, for standardized State codes and appendix F, page 121, standardized country codes.
Noncareer-Related Objective—Continued

To gain entry into advanced education (noncareer-related)

Other noncareer-related objective (specify)

Many of the "noncareer" categories listed above can be career-related (i.e., improving communications skills). If, however, a student's primary reason for seeking education is to learn to communicate more effectively in an occupational situation, then the appropriate career-related category should be used.

Information Item:
- Student's Objective in Attending Postsecondary Institution

HIGHEST FORMAL AWARD SOUGHT

The ultimate formal award to which a student aspires. The Highest Formal Award Sought is not necessarily the current award sought. A college undergraduate who aspires to a doctorate in psychology would list Doctor's Degree as his/her Highest Formal Award Sought. If a student plans to complete no degree beyond a B.A., then he/she would list Bachelor's Degree. See FORMAL AWARD, page 56, for definitions of formal awards:

None
High School Diploma
Certificate of High School Equivalency
Postsecondary Certificate or Diploma for Less Than 1 Year (equivalent to less than 1 year of full-time participation)
Postsecondary Certificate or Diploma for 1 Year or More (equivalent to 1 year or more of full-time participation which does not result in a degree)
Associate Degree
Bachelor's Degree
First-Professional Degree
Master's Degree
Specialist's or Intermediate Degree
Doctor's Degree
Other Degree (specify)
Other Award (specify)

Information Item:
- Highest Formal Award Sought by Student

CAREER/ OCCUPATIONAL ASPIRATION

The nature of the principal work to which a student aspires. See OCCUPATION CATEGORY on page 17 or appendix H, pages 127-134, for multiple-choice response categories.

A student's current employment is not to be considered as a career/occupation aspiration unless such employment represents that student's desires for an occupation after leaving the institution.

Information Item:
- Student's Career/Occupational Aspiration

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16The student, in reporting to the Veterans Administration on final goals, should list the highest formal award or specific ultimate occupation planned to be reached through his/her program.

17Full-time participation (referred to in categories .17 and .18) is discussed on pages 109-110 of appendix B.
FINANCIAL INFORMATION

Data elements in this section, when combined with personal qualifiers, form information items which may be used to describe various aspects of the financial situation of a student and his/her parents or spouse. Ordinarily, these information items will only apply to financial aid applicants and/or recipients; however, a postsecondary education institution may elect to collect financial data (as contained in this section) for all students, or a sampling of students, in order to characterize the socioeconomic background of its student population. In the case of a foreign student, an institution may require that the student, or a sponsoring individual or organization, submit financial information which certifies that the student will have sufficient funds available, for a specified period of time, to meet his/her postsecondary education expenses to be incurred at that institution. Income is calculated for a specified time period, usually for a calendar year, and is reported as of a specified date. The current market value of assets and liabilities is reported as of a specified date.

14 01
TOTAL PERSONAL INCOME

The sum of the dollar amounts a person receives from earnings, government benefits, and income from other sources for the specified calendar year(s) for which information is required. Total personal income includes both taxable and nontaxable income.

Information Items:
- Student's Total Personal Income
- Female Parent's Total Personal Income
- Male Parent's Total Personal Income
- Spouse's Total Personal Income

14 01 10
Earnings

The sum of wage or salary income and net self-employment income for the calendar year(s) for which information is required.

- Earnings From Wage or Salary — Money a person receives as wages, salary, commissions, bonuses, and tips from all jobs (before deductions for taxes, bonds, dues, etc.).

- Earnings From Self-Employment — Money a person receives as profit or fees (income after business expenses) from his/her own business, professional practice, partnership, or farm.

Information Items:
- Student's Earnings
- Female Parent's Earnings
- Male Parent's Earnings
- Spouse's Earnings

14 01 20
Government Benefits

The dollar amount of regular or recurring income paid directly to a person by a Federal, State, or local governmental agency. Included as government benefits are payments under Social Security, veterans' assistance programs, public assistance or welfare programs, and unemployment insurance programs. Excluded are income tax refunds, income as a result of a
STUDENT INFORMATION ITEMS

Government Benefits—Continued
sale made to a governmental agency, salaries and wages to government employees, and retirement and disability pensions from governmental agencies.

Information Items:
- Student's Government Benefits
- Female Parent's Government Benefits
- Male Parent's Government Benefits
- Spouse's Government Benefits

Income From Other Sources
Dollar amounts a person receives from sources other than earnings and government benefits.

14 01 30.01 Dividends and Interest — Money received as dividends and/or interest by a person from savings accounts, stocks, bonds, certificates of deposit, and other investments.

14 01 30.02 Net Rental Income — Money received (after expenses for maintenance and upkeep of property) as a result of renting real estate.

14 01 30.03 Retirement Pension — Money received by a person under a retirement program from private employers, from unions, or from governmental agencies (excluding Social Security payments).

14 01 30.04 Disability Pension — Money received from a public agency or private insurance company as compensation for the loss of certain skills, or for physical or mental disability.

14 01 30.05 Private Welfare Payments

14 01 30.06 Alimony or Child Support

14 01 30.09 Other Income — Money a person receives that is not included in any of the above sources of income.

Information Items:
- Student's Income From Other Sources
- Female Parent's Income From Other Sources
- Male Parent's Income From Other Sources
- Parents' Income From Other Sources
- Spouse's Income From Other Sources

FAMILY INCOME
The total income of a student's family. For an independent student, family income is the combined total income of the student and his/her spouse, if any. For a dependent student, family income is the total income of the parent(s) or person(s) who provide(s) more than one-half the student's support and claim(s) or is eligible to claim the student as an exemption for Federal income tax purposes.

Information Item:
- Student's Family Income
ADJUSTED GROSS INCOME

The dollar amount reported as adjusted gross income on IRS Form 1040 or 1040A for a specific calendar year.

Information Items:
- Student's Adjusted Gross Income
- Female Parent's Adjusted Gross Income
- Male Parent's Adjusted Gross Income
- Parents' Adjusted Gross Income
- Spouse's Adjusted Gross Income

ASSETS

All items of value owned by a person that are available for current or future use, and that are measurable in monetary terms.

Type of Asset

The nature or form of a person's assets.

Cash, Savings, and Checking Accounts
Stocks, Bonds, and Other Securities
Trust Accounts
Residence Equity
Equity in Other Real Estate
Business Assets
Farm Assets
Other Assets

Information Items:
- Student's Type of Asset
- Female Parent's Type of Asset
- Male Parent's Type of Asset
- Parents' Type of Asset
- Spouse's Type of Asset

Current Market Value of Asset

The sale price that an asset could be expected to bring at the current time.

Information Items:
- Current Market Value of Student's Asset
- Current Market Value of Female Parent's Asset
- Current Market Value of Male Parent's Asset
- Current Market Value of Parents' Asset
- Current Market Value of Spouse's Asset
STUDENT INFORMATION ITEMS

14 05

LIABILITIES
The total amount of debts or money currently owed by a person to one or more creditors.

14 05 10

Type of Debt (or liability)
An indication of the specific type of debt or indebtedness which a person has incurred.

14 05 10.01
- Mortgage
- Education loan
- Other debt(s) (Specify)

Information Items:
- Type of Student’s Debt
- Type of Parents’ Debt
- Type of Spouse’s Debt

14 05 20

Amount of Debt (or liability)
The total dollar value of the outstanding portion of a debt.

Information Items:
- Amount of Student’s Debt
- Amount of Parents’ Debt
- Amount of Spouse’s Debt

14 06

NET WORTH
The difference between the assets and the liabilities of a person as of a given date.

Information Items:
- Student’s Net Worth
- Female Parent’s Net Worth
- Male Parent’s Net Worth
- Parents’ Net Worth
- Spouse’s Net Worth
FIGURE 2B—LIST OF DATA ELEMENTS: STUDENT’S EDUCATIONAL EXPERIENCE

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<thead>
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<td>23 04 16 Amount of Financial Aid Authorized (to student)</td>
<td>41</td>
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<td>21 02 ADDRESS OF INSTITUTION</td>
<td>32</td>
<td>23 04 17 Amount of Financial Aid Received (by student)</td>
<td>41</td>
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<td>21 03 FICE CODE OR NCES NUMBER OF INSTITUTION</td>
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<td>23 04 20 Awards, Prizes, and Other Assistance (Non-Need-Based)</td>
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<td>23 04 21 Name of Award, Prize, or Other Assistance</td>
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<td>33</td>
<td>23 04 22 Type of Award, Prize, or Other Assistance (Non-Need-Based)</td>
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<td>22 02 GEOGRAPHIC ORIGIN (at time of admission)</td>
<td>33</td>
<td>23 04 23 Source of Award, Prize, or Other Assistance</td>
<td>42</td>
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<td>22 03 ADMISSION ACTION</td>
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<td>23 04 24 Control of Award, Prize, or Other Assistance</td>
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<td>22 04 CANDIDATE DECISION</td>
<td>35</td>
<td>23 04 25 Amount Authorized for Award, Prize, or Other Assistance (to student)</td>
<td>43</td>
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<td>22 05 CANDIDATE REPLY DATE DATE</td>
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<td>23 04 26 Amount of Award, Prize, or Other Assistance Received (by student)</td>
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<td>23 01 COST OF POSTSECONDARY EDUCATION (to student)</td>
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<td>23 01 10 Type of Postsecondary Education Expense</td>
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<td>24 01 10 Day/Evening Schedule</td>
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<td>24 01 20 Formal Award Status</td>
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<td>23 02 EXPECTED FAMILY CONTRIBUTION</td>
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<td>24 01 30 Student Load</td>
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<td>23 03 FINANCIAL NEED</td>
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<td>24 01 40 Program Completion Level</td>
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<td>24 04 10 Type of Program</td>
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The inclusion of a data element does not imply that data must be collected for the data element. Factors such as the nature and specificity of information needs, availability of data, and confidentiality of student data should be considered in determining whether, when, and how to collect data.
Continuation of Figure 2B

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### PARTICIPATION/PERFORMANCE

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### TERMINATION

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2 Student's Educational Experience

This major division of the classification consists of six subdivisions:

- Institutional Information
- Admissions
- Financing Student's Postsecondary Education
- Registration
- Participation/Performance
- Termination.

Data elements within these subdivisions are combined with institutional qualifiers to form information items which identify the various educational institutions—secondary and postsecondary—in which a student has enrolled or is registered or to which the student has applied. Also included are terms which can be used to describe the student's status and standing upon admission, upon first registration (entry), and while in attendance at a postsecondary institution; the sources from which the student may obtain funds to help meet his or her postsecondary education expenses; the educational program (including courses and performance in these courses) in which the student is engaged; and the manner in which the student's enrollment terminates at the postsecondary education institution (i.e., by completing work, by transferring, or by discontinuing work). See pages 9 and 103 for the definitions of institutional qualifiers. Also refer to appendix A, pages 88-99, for a tabular presentation of information items formed by combining the data elements in this division with institutional qualifiers.

INSTITUTIONAL IDENTIFICATION

Data elements in this section may be used to identify and locate educational institutions which a student has attended or is attending. In the case of secondary schools, this generally refers to the school attended last or from which the student graduated. For postsecondary institutions, identification information can be included for any institution which the student previously attended, or which awarded the student a degree, diploma, or certificate, or from which transfer award units have been accepted by the institution currently attended. Generally, the term "institution" refers to the organization offering educational programs and/or instruction to students. See also INSTITUTIONAL QUALIFIERS on pages 9 and 103.

NAME OF INSTITUTION

The legal name of the institution and such designations as necessary to indicate a specific reporting unit (e.g., the campus, branch, or extension center). See also FICE CODE.

Information Items:

- Name of Secondary School
- Name of Previous Postsecondary Institution
- Name of Current Postsecondary Institution
- Name of Subsequent Postsecondary Institution

ADDRESS OF INSTITUTION

The principal mailing address of the institution or campus or branch thereof. See also ADDRESS, page 22.

Information Items:

- Address of Secondary School
- Address of Previous Postsecondary Institution
- Address of Current Postsecondary Institution
- Address of Subsequent Postsecondary Institution
STUDENT INFORMATION ITEMS

FICE CODE OR NCES NUMBER OF INSTITUTION

The Federal Interagency Committee on Education (FICE) code, or the National Center for Education Statistics (NCES) number (an assigned number unique for a given institution or branch, which generally remains as an institutional identification number for the lifetime of the institution or branch). For Federal reporting purposes, each reporting unit with its own FICE code may submit various reports separate from or combined with any other such unit.

Information Item:
• FICE Code or NCES Number of Current Postsecondary Institution

ADMISSIONS

Data elements in this section may be used to describe the process through which an applicant obtains official permission to enroll at a particular institution and to participate in its instructional activities. The process of obtaining such permission may be under the authority of the institution or an administrative subdivision of the institution (see DEPARTMENT/ DIVISION/ SCHOOL, page 48) which has responsibility for the administration of specified programs of studies (e.g., the law school of a university). The admissions process may range from a complex application procedure (with submission of credentials for review by a committee on admission) to a simple procedure requiring personal appearance at the first class, or attendance in general. However, some type of formal request (usually written) to enter the institution (or subdivision thereof) frequently is required, culminating in an action being taken regarding the request, commonly known as the admission decision.

APPLICATION FOR ADMISSION

The formal request by which an applicant (candidate for admission or prospective student) seeks evaluation of qualifications and approval by the institution to register as a student.

Date Application for Admission Received

The year, month, and day on which the admission application submitted by a student was received by the institution. See appendix D, page 117, for the standard format for coding calendar date.

Information Item:
• Date Application for Admission Received by Current Postsecondary Institution

Requested Date of Entry

The academic term or calendar date on which the applicant seeks to begin attendance at the institution. The term or date generally is indicated by the applicant on the application for admission. See appendix D, page 117, for the standard format for coding calendar date.

Information Item:
• Requested Date of Entry to Current Postsecondary Institution

As of 1980, NCES identification numbers were assigned by the Adult and National Education Surveys Branch of NCES
Student's Educational Experience—Continued

ADMISSIONS—Continued

22 02 GEOGRAPHIC ORIGIN (at Time of Admission)

An indication of the place where the student resided, as determined by the student’s legal address, at the time of application for admission to the institution. The determination of a student’s geographic origin may be made at the time of the student’s application for undergraduate status, or for a first-professional program, or for graduate student status.

For definitions of Legal Address and Student Level, see pages 23 and 45, respectively. Geographic data may be useful in performing student migration studies. See page 109 of appendix B for a discussion of the relationship between Residency Status and Geographic Origin.

22 02 00.10 In-State

.11 In-District

.12 Out-of-District

.20 Other State or Outlying Area of the United States

.30 Out-of-Country

Information Item:

– Student’s Geographic Origin at Time of Admission to Current Postsecondary Institution

22 03 ADMISSIONS ACTION

An institutional process designed to evaluate an applicant’s qualifications for admissibility into the institution, resulting in an admission decision.

22 03 10 Admission Decision

The action taken by the institution with regard to an applicant’s request for admission.

.10 Admission Offered – A status for applicants who routinely qualify or are expected to qualify for admission to the institution, and those who, for certain academic or administrative reasons, are offered admission on a provisional basis. Accordingly, the institution may utilize various detailed subdivisions within this category to further classify applicants on the basis of the type of admission which is offered (e.g., regular, conditional, and special).

.20 Admission Denied (Rejected)

.30 On Waiting List – A status for qualified applicants—short of offering admission—based on the expectation that some admitted applicants will refuse the offer of admission, thereby opening additional spaces prior to the requested term of entry. A waiting list position may or may not result in a final offer of admission, and an institution may reserve the right to offer admission to all or some of its waiting list candidates.

19For analytical and/or reporting purposes, the State and/or political subdivision, or foreign country, may be detailed using the codes listed on pages 119 and 121-123, respectively.
CANCESSION OF OFFER OF ADMISSION — The status of an applicant who has had an offer of admission cancelled by the institution.

Information Item:
— Admission Decision at Current Postsecondary Institution.

DATE OF ADMISSION DECISION NOTIFICATION
The year, month, and day on which the institution notifies the applicant of the action taken on his or her application for admission. See appendix D, page 117, for the standard format for coding calendar date.

Information Item:
— Date of Admission Decision Notification at Current Postsecondary Institution

APPROVED DATE OF ADMISSION
The calendar date or academic term, as specified by the institution, on which the student is allowed to enter the institution. See appendix D, page 117, for the standard format for coding calendar date.

Information Item:
— Approved Date of Admission to Current Postsecondary Institution

CANDIDATE DECISION
The action taken by an applicant in response to an offer of admission by an institution.

ACCEPTANCE OF ADMISSION OFFER — The status of an applicant who accepts the offer of admission and intends to register and enroll in the institution. This decision to participate in the instructional activities of the institution is indicated by the applicant's officially notifying the institution of his/her intention to attend, generally followed by a stipulated monetary deposit guaranteeing that the applicant will register.

Refusal of Admission Offer — The status of an applicant who subsequent to an offer of admission to an institution decides not to accept such an offer. In some instances, the applicant may neglect to advise the institution of this decision.

Withdrawal of Application for Admission — The status of an applicant, who prior to an admission decision by the institution, indicates that he/she is no longer seeking admission to the institution.

Cancellation of Acceptance of Admission Offer — The status of an applicant who after acceptance of an admission offer (.10 above), decides to cancel or refuse the offer of admission.

Information Item:
— Candidate Decision fo: Current Postsecondary Institution

CANDIDATE REPLY DATE
The year, month, and day on which the admitted candidate notifies the institution of his or her decision with regard to the offer of admission. See appendix D, page 117, for the standard format for coding calendar date.
FINANCING STUDENT’S POSTSECONDARY EDUCATION

The data elements in this section may be used to describe postsecondary education expenses facing a student and the sources from which the student may obtain funds to help meet these costs. These sources include any support received by the student from parents, from spouse, from his/her own resources, or from financial assistance. Financial assistance—need-based or non-need-based—refers to funds provided to a student from other than his/her own personal and family resources to help meet that student’s postsecondary education expenses. Moreover, the descriptors that are included refer only to students who apply for and/or receive financial assistance. Information items composed of data elements from this section are reported as of a particular date and cover a specified time period. The time period should be consistently applied when each of the information items is used.

COST OF POSTSECONDARY EDUCATION (TO STUDENT)

The total amount of expenditures required to enable a student to pursue a program of postsecondary education.

Type of Postsecondary Education Expense

An indication of the nature and object of a student’s postsecondary education expense.

.01 Tuition — Payments required of a student for instructional services in a program of postsecondary education. Tuition may be charged on a per-term, per-course, or per-award unit basis.

.02 Fees — Charges required of all students or of certain classes of students for items not covered by tuition for a specified time period while in attendance. Fees may include charges for such things as the use of instructional equipment and supplies (including library usage), for student activities, for health services, for student center activities, and for admission to athletic events.

.03 Book, equipment, and supply expenses — The estimated cost of necessary books, equipment, and supplies not covered by tuition and fees.

.04 Housing, rent or room expenses — The charges paid for lodging, including rent, mortgage payment, and utilities.

.05 Food or board and household supply expenses — The cost of food and household supplies.

.06 Transportation expenses — The cost of transportation between a student’s residence and place of instruction (commuting costs)—including charges for public transportation, gasoline, parking, automobile maintenance, routine repair and insurance—and the cost of round trips home (noncommuting costs).
**Student Information Items**

**23 01, 10.07**

Other expenses (specify) — Any other reasonable expenses necessary to enable a student to pursue a program of postsecondary education, including, for example, medical and dental expenses, insurance, child care costs, laundry, clothing, and personal expenses.

Information Item:

— Type of Postsecondary Education Expense at Current Postsecondary Institution

**23 02 20**

**Amount of Postsecondary Education Expense**

The dollar amount of each type of postsecondary education expense incurred by a student. The total amount of a student's postsecondary education expenses at the current postsecondary institution may be obtained by summing the dollar amounts of each type of expense. Accordingly, the amount may be recorded by type of expense and/or as a total. Expenses should reflect the expenses the student will face in maintaining a reasonable, but moderate, standard of living while pursuing a particular program of postsecondary education. Thus, the postsecondary education expenses for a student may vary in accordance with such factors as the type and control of institution, the student's choice of residence, the student's program, and other considerations.

Information Item:

— Amount of Postsecondary Education Expense at Current Postsecondary Institution

**23 02**

**Expected Family Contribution**

The sum of the dollar amounts which may reasonably be expected from the student, from his/her spouse, if any, and from his/her parents, if applicable, to meet the cost of the student's postsecondary education. See also **Cost of Postsecondary Education (To Student)** above.

**23 02 00.10**

**Parental Share (of Expected Family Contribution)** — The dollar amount from all sources of income and the net assets of the student's parent(s) that reasonably could be expected as a contribution to meet that student's postsecondary education expenses. In this case, "parent(s)" means the student's mother or father; an adoptive parent is considered to be the student's mother or father. (The parental contribution is usually determined by an analysis of the financial circumstances of the parent(s) and an evaluation of ability to contribute to postsecondary education expenses.) Refer to pages 26 to 29 for definitions of income categories and other related terms.

**20.**

**Spouse's Share (of Expected Family Contribution)** — The dollar amount of net earnings from the spouse's employment, from assets, from savings, and/or from other sources of the student's spouse which may be applied to that student's postsecondary education expenses. (The spouse's contribution usually is determined by an analysis of the financial circumstances of the student and spouse, and an evaluation of their ability to contribute to postsecondary education expenses.) Refer to pages 26 to 29 for definitions of income categories and other related terms.

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20 This is relevant only for a dependent student as defined on page 19.
22 This is relevant only to a student who is currently married.
Student's Educational Experience—Continued

FINANCING STUDENT'S POSTSECONDARY EDUCATION—Continued

EXPECTED FAMILY CONTRIBUTION—Continued

Student's Share (of Expected Family Contribution)

From Earnings — The dollar amount of the student’s net earnings from actual and/or anticipated employment which may be applied to his/her postsecondary education expenses. This amount excludes earnings from need-based employment (i.e., employment as financial aid) by the institution. See also EARNINGS, page 26.

From Government Benefits — The dollar amount of benefits paid by government agencies to the student or on behalf of the student which may be applied to his/her postsecondary education expenses. This amount may be broken out according to program (e.g., veterans benefits or social security benefits). See also GOVERNMENT BENEFITS, page 26.

From Assets — The dollar amount of the student’s assets which reasonably could be expected as a contribution toward his/her postsecondary education expenses. See also ASSETS, page 28.

From Income From Other Sources — The dollar amount of the student’s income from sources other than his/her earnings, government benefits, and/or assets which reasonably could be expected as a contribution toward that student’s postsecondary education expenses. See also INCOME FROM OTHER SOURCES, page 27.

Shares From Other Sources — The sum of the dollar amounts of funds available to the student from all other sources—relatives and friends—not included above.

Information Item:

— Expected Family Contribution at Current Postsecondary Institution

FINANCIAL NEED

The difference between the cost of a student’s postsecondary education and the expected family contribution from the student and his/her family to be applied toward the student’s postsecondary education expenses. Financial need is demonstrated by means of a needs analysis, in which the ability of the student and his/her family to contribute to postsecondary education expenses is systematically evaluated. Eligibility for certain programs of financial assistance is based upon the demonstrated financial need of the student.

Amount of Financial Need

The dollar amount needed by a student to provide the difference between his/her postsecondary education expenses and the expected family contribution available to him/her.

Information Item:

— Amount of Financial Need at Current Postsecondary Institution
FINANCIAL ASSISTANCE

Financial assistance refers to any support received by a student from a source other than parents, spouse, or his/her own resources, to help meet the student's postsecondary education expenses. Financial assistance may be awarded as the result of an evaluation of the student's resources—including an accounting of available family and personal funds—and the determination of his/her financial need (need-based financial aid). Financial assistance also may be awarded on the basis of the student's abilities, talents, or special interests in certain fields (non-need-based awards and prizes).

Financial Aid (Need-Based)

Funds awarded to a student on the basis of his/her demonstrated financial need for the purpose of meeting postsecondary education expenses. For reporting and analytical purposes, it may be necessary for an institution to distinguish between the amount of financial aid authorized to be awarded to the student and the amount actually received by the student at that institution. See also AMOUNT OF FINANCIAL AID AUTHORIZED and AMOUNT OF FINANCIAL AID RECEIVED, on page 41.

Name of Financial Aid Program

The name specifically identifying the postsecondary financial aid program.

Information Items:
- Name of Financial Aid Program at Previous Postsecondary Institution
- Name of Financial Aid Program at Current Postsecondary Institution

Type of Financial Aid (Need-Based)

An indication of the nature of the funds awarded to a student, based on his/her demonstrated financial need.

Need-Based Grant or Scholarship — Aid which has no requirement for repayment or employment. Remission of tuition and/or fees may also be included. Where a student without demonstrated financial need is “awarded” a scholarship without being granted any funds (e.g., some institutional scholarships) such distinction may be noted for record-keeping purposes under ACADMIC HONORS on page 59.

Need-Based Educational Loan — Aid which requires dollar repayment and/or provides for full or partial loan forgiveness under specified conditions (e.g., for service in a specified career).

Need-Based Employment — Aid which provides compensation for service rendered. This includes only employment awarded by the institution (e.g., employment under the College Work Study Program). See also EMPLOYMENT EXPERIENCE, page 63.

Other Financial Aid (Specify) — Any need-based financial aid not included above.

Information Item:
- Type of Financial Aid at Previous Postsecondary Institution
- Type of Financial Aid at Current Postsecondary Institution.
FINANCIAL ASSISTANCE—Continued

Source of Financial Aid

The funding source of a financial aid award to a student.

- State Government — A unit of the State Government.
- Local Government — A unit of the local government.
- Institutional Source — A resource of the institution, such as endowment income, contributions, or income from institutional activities.
- Private Source — A civic, church, community, or private organization other than the institution.
- Individual Person(s) — One or more persons (not an organization) who make funds available for financial aid.
- Other Source (Specify)
- Source Unknown

Information Item:
- Source of Financial Aid at Previous Postsecondary Institution
- Source of Financial Aid at Current Postsecondary Institution

Selector of Recipient

The organization or agency making the selection of the financial aid recipient.

- Federal Government
- State Government
- Local Government
- Institution
- Private Organization
- Other Organization (Specify)
- Control Unknown

Information Items:
- Selector of Recipient at Previous Postsecondary Institution
- Selector of Recipient at Current Postsecondary Institution

Control of Financial Aid

The organization or agency having administrative control (i.e., serving as disbursing agent) of the student's financial aid award. The control and source of the student's financial aid award may be the same.
STUDENT INFORMATION ITEMS

23 04 15.01
Federal Government
.02
State Government
.03
Local Government
.04
Institution
.05
Private Organization
.09
Other Organization (Specify)
.99
Control Unknown

Information Items:
- Control of Financial Aid at Previous Postsecondary Institution
- Control of Financial Aid at Current Postsecondary Institution

23 04 16
Amount of Financial Aid Authorized (for Student)

The dollar value of the financial aid authorized for a student under a specific program. This amount may also be recorded by the type, the source, and control of the student's financial aid award. The amount authorized may differ from the amount actually received by the student. See also AMOUNT OF FINANCIAL AID RECEIVED.

Information Items:
- Amount of Financial Aid Authorized (for Student) at Previous Postsecondary Institution
- Amount of Financial Aid Authorized (for Student) at Current Postsecondary Institution

23 04 17
Amount of Financial Aid Received (by Student)

The dollar value of financial aid received by, or made available to, a student under a specific program. This amount may also be recorded by type, source, and control of the student's financial aid award. For example, a student may be awarded $1,000 in financial aid for a school year; however, for various reasons, that student may have received only $800 by the end of the time period. See also AMOUNT OF FINANCIAL AID AWARDED.

Information Items:
- Amount of Financial Aid Received (by Student) at Previous Postsecondary Institution
- Amount of Financial Aid Received (by Student) at Current Postsecondary Institution

23 04 20
Awards, Prizes, and Other Assistance (Non-Need-Based)

Funds awarded in recognition of a student's special abilities, talents, interests, or participation in certain programs without regard to financial need. However, non-need-based awards, prizes, or other assistance received by students may be used for or applied toward meeting or reducing a student's computed financial need. Accordingly, where students with demonstrated financial need are the recipients of more than one type of financial assistance (i.e., need-based financial aid and non-need-based awards or prizes), it may be necessary to designate the amount provided of each type to meet or reduce the student's financial need. See also FINANCIAL AID (NEED-BASED) on page 39.

23 04 21
Name of Award, Prize, or Other Assistance

The name specifically identifying the postsecondary award, prize, and/or other assistance.

Information Items:
- Name of Award, Prize, or Other Assistance at Previous Postsecondary Institution
- Name of Award, Prize, or Other Assistance at Current Postsecondary Institution
FINANCING STUDENT'S POSTSECONDARY EDUCATION—Continued

Type of Award, Prize, or Other Assistance (Non-Need-Based)

The type of assistance awarded to a student based on criteria other than the student's financial need.

.01 Non-Need-Based Grant or Scholarship — An award or prize, including remission of tuition and/or fees, if applicable, which does not require repayment or employment and which is based on a student's academic strength or specialized abilities in some portion of an institution's program (e.g., an athletic grant, music scholarship, etc.).

.02 Non-Need-Based Educational Loan — Assistance which requires dollar repayment and/or provides for full or partial loan forgiveness under specified conditions (e.g., for service in a specified career field). This excludes consumer loans for goods.

.03 Fellowship — An award or prize, ordinarily for support of graduate study, which does not require repayment or employment and which is normally used to support a graduate student in his/her field of primary interest.

.04 Non-Need-Based Employment — An award or prize which provides compensation for services rendered. This includes any employment awarded by the institution. Assistantships usually are included in this category. See also EMPLOYMENT EXPERIENCE, page 63.

.09 Other Non-Need-Based Awards, Prizes, or Other Assistance (Specify)

Information Items:
– Type of Award, Prize, or Other Assistance at Previous Postsecondary Institution
– Type of Award, Prize, or Other Assistance at Current Postsecondary Institution

Source of Award, Prize, or Other Assistance

The funding source of an award, prize, or other assistance to a student. See SOURCE OF FINANCIAL AID on page 40 for the multiple-choice response categories.

Information Items:
– Source of Award, Prize, or Other Assistance at Previous Postsecondary Institution
– Source of Award, Prize, or Other Assistance at Current Postsecondary Institution

Control of Award, Prize, or Other Assistance

The organization or agency having administrative control of the student's award, prize, or other assistance. The control and source of the student's award or prize may be the same. See CONTROL OF FINANCIAL AID on page 40 for the multiple-choice response categories.

Information Items:
– Control of Award, Prize, or Other Assistance at Previous Postsecondary Institution
– Control of Award, Prize, or Other Assistance at Current Postsecondary Institution
STUDENT INFORMATION ITEMS

Amount Authorized for Award, Prize, or Other Assistance (to Student)
The dollar value of a specific award, prize, or other assistance authorized for award to a student. This amount may also be recorded by the type, the source, and the control of the student’s award, prize, or other assistance. The amount authorized may differ from the amount actually received by the student. See also AMOUNT OF AWARD, PRIZE, OR OTHER ASSISTANCE RECEIVED.

Information Items:
- Amount Authorized for Award, Prize, or Other Assistance to Student at Previous Postsecondary Institution
- Amount Authorized for Award, Prize, or Other Assistance to Student at Current Postsecondary Institution

Amount of Award, Prize, or Other Assistance Received (by Student)
The dollar value of a specific award, prize, or other assistance received by, or made available to a student to meet the student’s postsecondary education expenses. This amount may also be recorded by the type, the source, and the control of the student’s award, prize, or other assistance. See also AMOUNT AUTHORIZED FOR AWARD, PRIZE, OR OTHER ASSISTANCE.

Information Items:
- Amount of Award, Prize, or Other Assistance Received by Student at Previous Postsecondary Institution
- Amount of Award, Prize, or Other Assistance Received by Student at Current Postsecondary Institution

REGISTRATION
The data elements of this section may be used to describe the process by which a student enters an institution and/or subdivision of the institution, a process frequently including the payment of tuition and/or fees—which results in the student’s name being entered into the rolls, records, and/or files of the institution.

REGISTRATION STATUS
The designation of various statuses or conditions assigned to a person by the institution in terms of specific institutional criteria at the time of each registration. The terms associated with REGISTRATION STATUS may also be applied, where needed, to the status requested by a person on his/her application for admission, or to the status requested at the time of initial registration.

Day/Evening Schedule

Day Schedule – The schedule of a student who attends the majority of his/her classes during the daytime hours (as defined by the institution).

Evening Schedule – The schedule of a student who attends the majority of his/her classes during the evening hours (as defined by the institution).

Other Schedule – e.g., a combined day-evening schedule or a weekend schedule.

Information Item:
- Day/Evening Schedule at Current Postsecondary Institution
Student's Educational Experience—Continued

REGISTRATION—Continued

REGISTRATION STATUS—Continued

24 01 20

Formal Award Status

The status of a student with regard to his/her immediate institutionally-approved educational goal. The student's educational aspiration may differ from this institutionally-endorsed goal. See also HIGHEST FORMAL AWARD SOUGHT, page 25.

Formal-Award Student - A student whose program of studies leads to the receipt of a formal award. See also FORMAL AWARD, page 56.

Not a Formal-Award Student - A student whose program of study does not lead directly to the receipt of a formal award in the current institution. See also FORMAL AWARD, page 56.

Information Item:
- Formal Award Status at Current Postsecondary Institution

24 01 30

Student Load

The sum of the award units of all courses in which a student is enrolled during a specified time period, as defined by the institution. See also AWARD UNITS FOR COURSE, page 54. See also appendix B, page 109, for a discussion of this term with regard to computation of full-time and part-time participation.

Information Item:
- Student Load at Current Postsecondary Institution

24 01 40

Program Completion Level

A measure of progress, expressed as a percentage, toward completion of a program of studies. The percentage is derived by dividing a student's total number of formal award units previously earned and allowed by the institution by the total number of units needed for completion of his/her program.

This measure may be used for students in all programs of postsecondary education. A similar measure, often used in institutions of higher education, is included in the following term, Student Level.

Level 1 — 0-25 percent of program completed.

Level 2 — 26-50 percent of program completed.

Level 3 — 51-75 percent of program completed.

Level 4 — 76 percent or more of program completed.

Information Item:
- Program Completion Level at Current Postsecondary Institution
STUDENT INFORMATION ITEMS

24 01 50

Student Level
A measure of a student’s progression through the various formal award levels of postsecondary education, as determined by the formal award sought and the number of award units accumulated toward completion of that formal award.

.10 Formal-Award Student — See FORMAL-AWARD STUDENT, page 44, FORMAL AWARD, page 56; and FORMAL AWARD SOUGHT, page 58.

.11 Lower Division, Undergraduate Level
.111 Year 1 — Freshman
.112 Year 2 — Sophomore

.12 Upper Division, Undergraduate Level
.121 Year 3 — Junior
.122 Year 4 — Senior
.123 Year 5 — Senior in a 5-year program

.13 First-Professional Level
.131 Year 1
.132 Year 2
.133 Year 3
.134 Year 4
.135 Year 5

.14 Graduate Level
.141 Graduate 1 — Work toward a master’s or specialist’s degree.
.142 Graduate 2 — Work toward a doctoral degree.

.20 Not a Formal-Award Student — See NOT A FORMAL-AWARD STUDENT, page 44

.21 Prebaccalaureate Student — A student who is not seeking a formal award and has not earned a bachelor’s degree.

.22 Postbaccalaureate Student — A student who is not seeking a formal award but who has earned a bachelor’s degree. This includes students who may hold master’s or doctoral degrees except for Postdoctoral Students as defined below.

.23 Postdoctoral Student — A student holding a doctoral degree who engages in a formal program of study and research at a more advanced level than the doctoral student

Information Item:
— Student Level at Current Postsecondary Institution.

24 01 60

Student Standing
The student’s status at any time with regard to the institutional criteria governing adequate performance in the pursuit of educational objectives.

.01 Good Standing — The status of a student who is not on probation and is eligible to continue in or return to the institution.

.02 Academic Probation — The status of a student whose academic performance is unsatisfactory according to specific institutional criteria. The student remains enrolled but under stated conditions.
Student's Educational Experience—Continued

REGISTRATION—Continued

REGISTRATION STATUS—Continued

Student Standing—Continued

Academic Suspension — The status of a student who remains registered at an institution but for reasons of academic demerit is prohibited from enrolling in courses offered by the institution and, frequently, from engaging in activities sponsored by the institution.

Disciplinary Probation — The status of a student resulting from unsatisfactory conduct apart from academic performance. The student remains enrolled, but under stated conditions.

Disciplinary Suspension — The status of a student who remains registered at an institution but for reasons of disciplinary demerit is prohibited from enrolling in courses offered by the institution and, frequently, from engaging in activities sponsored by the institution.

Leave of Absence — The status of a student who voluntarily requests to remain a registered student but does not plan to enroll in courses for a specified period of time.

Other Student Standing (Specify)

Information Item:
- Student Standing at Current Postsecondary Institution

Transition Status

An enrolled student's status during a registration period at the institution in relation to any previous postsecondary attendance experience. This term is commonly used in conjunction with the major STUDENT LEVEL categories: undergraduate, first-professional and graduate (see page 45).

New Student — A student who has never attended the institution previously and will register or has registered for the first time.

First-Time Postsecondary Student — A new student who has no previous experience at the postsecondary educational level.

Transfer Student — A new student who transfers award units for a portion of a formal award requirement from a previous postsecondary institution to his/her current institution.

Beginning Student — A new student with previous postsecondary experience (on any level) who does not transfer award units into his/her current institution.

Returning Student — A student who has enrolled in the institution previously.

Uninterrupted Attendance Student — A returning student whose educational activities at the institution continue unbroken within the regular calendar system of the
Uninterrupted Attendance Student—Continued

Normal vacation periods (i.e., summer vacations, holidays, or other institutionally-approved break periods) do not constitute breaks in attendance.

Continuing Student – An uninterrupted attendance student who has not changed formal award level (e.g., bachelor's, master's) and for whom academic responsibility remains in the same administrative subdivision as in the immediately preceding registration period.

Institutional Transfer Student – An uninterrupted attendance student who changes formal award level (e.g., from bachelor's to master's) and/or for whom academic responsibility is transferred from one administrative subdivision to another (e.g., from the Faculty of Arts and Sciences to the Graduate School of Engineering).

Reinstated Student – A returning student who because of a leave-of-absence or suspension, had a break in attendance at the institution.

Readmitted Student – A returning student who terminated attendance at the institution previously and consequently has been required to be readmitted to the institution.

Beginning Date of Attendance

The calendar date or academic year or term when a student first attends classes at the institution. See appendix D, page 117, for the standard format for coding calendar date.

Date of Registration

The calendar date or academic year or term of the student's most recent registration at the institution. See appendix D, page 117, for the standard format for coding calendar date.

Enrolled – A registered student who is participating in the institution's instructional activities on the census date. This includes students who are in good standing or are on academic or disciplinary probation. See also STUDENT STANDING, page 45.

Not Enrolled but Registered – A student who is registered in the institution but is not participating in the institution's instructional activities. This includes students who are registered (i.e., who are “maintaining their matriculation”) for purposes of using the institution’s
Student's Educational Experience—Continued

REGISTRATION—Continued

ENROLLMENT STATUS

Not Enrolled but Registered—Continued
resources (e.g., a library or laboratory) or while completing a dissertation. In accordance with the institution’s practices, this also may include students who are on leave-of-absence. See also STUDENT STANDING, page 45.

Not Enrolled and Not Registered — A person who is not registered in the institution. In accordance with the institution’s practices, this may include persons who are on leave-of-absence from the institution or are on academic or disciplinary suspension. See also STUDENT STANDING, page 45.

DEPARTMENT/DIVISION/SCHOOL
An administrative subdivision of the institution directly administering and/or supervising instruction in a specific discipline or branch of knowledge.

Name of Department/Division/School
The name of the specific administrative subdivision of the institution administering and/or supervising a student's program of studies.

PROGRAM OF STUDIES
A combination of courses and related activities organized for the attainment of broad educational objectives as described by the institution.

Type of Program
An indication of the general purpose of the program of studies selected by a student or in which he/she is registered or plans to register.

This term may describe the student’s program even if the student is not currently working toward a formal award. A profile of the student’s program can be obtained by using this term in conjunction with any of several other terms, including OBJECTIVE IN ATTENDING POSTSECONDARY INSTITUTION on page 24 and FORMAL AWARD SOUGHT, page 58. This term should also be used in recording data on students engaged in study of a nonformal nature (e.g., a single course on community affairs).

General Academic/Liberal Arts Program — A program of studies in the liberal arts and sciences. Included in this category are associate and bachelor's degree programs,

\(^{23}\) In reporting to the Veterans Administration on "current course or objective," the institution’s actual name for the student’s approved program of studies should be listed.
STUDENT INFORMATION ITEMS

24 04.10.01

**General Academic/Liberal Arts Program—Continued**

preprofessional programs (e.g., prelaw or premedical), and master's level programs in liberal arts and/or sciences.

**.02 Professional Program** - A program of studies intended to prepare students for immediate entry into a specific profession or career which requires—at a minimum—educational attainment at the baccalaureate level or beyond. Programs in this category include first-professional degree programs and undergraduate programs in engineering or business administration, as well as doctoral programs in the liberal arts (i.e., doctoral programs which prepare students for careers as practitioners, instructors, or researchers in a particular field of study).

**.03 Vocational/Technical Program** — A program of studies intended to prepare students for immediate entry into an occupation which requires educational attainment below the baccalaureate level, frequently culminating in attainment of an associate degree, a certificate, or diploma. Examples include certificate or diploma programs in child care training, auto mechanics, business data processing, and dental technology.

**.04 Requisite Preparatory/Adult Basic Education Program** — A course or course cluster which is preparatory or remedial in nature. Included are courses required of a student by an institution (usually in order to obtain entry or work toward a degree program) and courses offered under an Adult Basic Education Program.\(^{24}\)

**.05 Occupational Upgrading/Professional Development Program** — A program of studies which is directly related to the student's career/occupation, and which is designed to expand the student's skills and knowledge in that area. While such students generally are not engaged in degree programs, award units or some other recognition of completion frequently are provided. Included are courses in teacher education and computer languages, and medical refresher courses.

**.06 Personal Interest/Avocational Studies Program** — A program of studies which includes courses that are not offered as part of a formal award program, but are carried out to support a student's avocational pursuits or personal interests. Examples include courses in macrame, foreign languages for travel, environmental issues, and household budgeting. Excluded from this category are courses offered under .04, Requisite Preparatory/Adult Basic Education, even though courses in this category generally do not lead to a formal award.

**.09 Other Type of Program (Specify)**

Information Item:

— Type of Program at Current Postsecondary Institution

24 04.20

**Major Field of Study**\(^ {25}\)

A designation, as appropriate, for the subject-matter area(s) or discipline(s) to which a student gives primary (or singular) emphasis within his/her program of studies, according to institutional requirements for minimum number of courses or award units. Where the student chooses to satisfy the institutional requirements for primary emphasis in two or more fields of study (i.e., double or multiple majors), each major may be specified.

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24The Adult Basic Education program was established under the Adult Education Act of 1966 to provide fundamental learning tools to persons 16 years or older who have never attended school or who have interrupted their formal schooling. Courses provide for the attainment of reading, writing, and computational skills through the 12th-grade level of competence, for overcoming English-language difficulties, and for learning to function as responsible citizens.

25In reporting to the Veterans Administration on "current course or objective," the institution's actual name for the student's approved program of studies should be listed.
Major Field of Study—Continued

Institutions may record the Major Field of Study using a standard name or using an institutional name (see below). In some cases institutions may choose to report such data under both designations in order to achieve the desired degree of specificity and usefulness.

Major Field of Study — Standard Name

A designation of the major field of study in accordance with the standard classification as contained in *A Taxonomy of Instructional Programs in Higher Education* and Handbook VI, *Standard Terminology for Curriculum and Instruction in Local and State Systems.* See page 125 for a listing of categories for major field of study.

Information Items:
- Major Field of Study — Standard Name at Previous Postsecondary Institution
- Major Field of Study — Standard Name at Current Postsecondary Institution
- Major Field of Study — Standard Name at Subsequent Postsecondary Institution

Major Field of Study — Institutional Name

A designation of the major field of study in accordance with the institution’s curricular nomenclature.

Information Items:
- Major Field of Study — Institutional Name at Previous Postsecondary Institution
- Major Field of Study — Institutional Name at Current Postsecondary Institution
- Major Field of Study — Institutional Name at Subsequent Postsecondary Institution

Minor Field of Study

A designation, as appropriate, for the subject-matter area(s) or discipline(s) to which a student gives secondary emphasis within his/her program of studies, according to institutional requirements for minimum number of courses or award units. Institutions may record the Minor Field of Study using a standard name or using an institutional name (see below). In some cases institutions may choose to record such data under both designations in order to achieve the desired degree of specificity and usefulness.

Minor Field of Study — Standard Name

A designation of the minor field of study in accordance with the standard classification as contained in *A Taxonomy of Instructional Programs in Higher Education* and Handbook VI. See page 125 for a listing of categories for minor field of study.

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Major Field of Study - Standard Name

A designation of the major field of study in accordance with the standard classification as contained in A Classification of Instructional Programs.  See page 125 for a listing of categories for major field of study.

Minor Field of Study - Standard Name

A designation of the minor field of study in accordance with the standard classification as contained in A Classification of Instructional Programs.  See page 125 for a listing of categories for minor field of study.

STUDENT INFORMATION ITEMS

24.04.31 Minor Field of Study – Standard Name—Continued
Information Items:
- Minor Field of Study – Standard Name at Previous Postsecondary Institution
- Minor Field of Study – Standard Name at Current Postsecondary Institution
- Minor Field of Study – Standard Name at Subsequent Postsecondary Institution

24.04.32 Minor Field of Study – Institutional Name
A designation of the minor field of study in accordance with the institution’s curricular nomenclature.

Information Items:
- Minor Field of Study – Institutional Name at Previous Postsecondary Institution
- Minor Field of Study – Institutional Name at Current Postsecondary Institution
- Minor Field of Study – Institutional Name at Subsequent Postsecondary Institution

24.04.40 Length of Program
The amount of time (i.e., days, weeks, months, or years, assuming a normal course load) recommended by the institution for completion of a fully-engaged student’s specific program of studies. See also discussion on pages 109-110.

Information Item:
- Length of Program at Current Postsecondary Institution

24.04.50 Date of Expected Program Completion
The academic term or calendar date when a student is expected to satisfactorily complete all the requirements of his/her program of studies. See appendix D, page 117, for standard format for coding calendar date.

Information Item:
- Date of Expected Program Completion at Current Postsecondary Institution

25 Participation/Performance
Data elements in this section may be used to describe various aspects of a student’s activities and accomplishments which are directly related to educational programs of the institution. Included are terms which describe the courses taken by the student, such as course name, grades (marks), and award units received for successful completion of courses.

25.01 Standardized Test
A test composed of a systematic sampling of behavior, having data on reliability and validity, administered and scored according to specific instructions, and capable of being interpreted in terms of adequate norms.

25.01.10 Name(s) of Admission Test(s)
The name(s) (and form number/letter, copyright date, or other information) which uniquely identifies any test(s) required and/or used in support of a student’s admission request.

Information Items:
- Name of Admission Test for Previous Postsecondary Institution
- Name of Admission Test for Current Postsecondary Institution
Student's Educational Experience—Continued

25 01 20

STANDARDIZED TEST—Continued

Name(s) of Placement Test(s)

The name(s) (and form number/letter, copyright date, or other information) which uniquely identifies any test(s) required and/or used to determine the specific course needs of a student.

Information Items:
- Name of Placement Test at Previous Postsecondary Institution
- Name of Placement Test at Current Postsecondary Institution

25 01 30

Name(s) of Other Standardized Test(s)

The name(s) (and form number/letter, copyright date, or other identification) that uniquely identifies any standardized test(s) other than entrance or placement tests.

The purpose of any test listed under this term should be included if it is not apparent by the actual name of the test.

Information Items:
- Name of Other Standardized Test at Previous Postsecondary Institution
- Name of Other Standardized Test at Current Postsecondary Institution

25 01 40

Test Results

The student's standard test score(s) (as assigned by the publisher) or, if none, the raw score.

Information Items:
- Test Results at Previous Postsecondary Institution
- Test Results at Current Postsecondary Institution

25 01 50

Date Test Was Administered

The year, month, and day on which the standardized test was administered. See appendix D, page 117, for the standard format for coding calendar date.

Information Items:
- Date Test Was Administered at Previous Postsecondary Institution
- Date Test Was Administered at Current Postsecondary Institution

25 02

COURSE

An organization of subject matter and related learning experiences provided for the instruction of students on a regular or systematic basis, usually for a predetermined period of time (e.g., a semester, a regular term, a 2-week workshop).

The definition may be interpreted to include that group of activities which is often described under the broad heading of "nontraditional study" (including experiential learning and credit-by-examination), but only when these activities are assigned course titles, course codes, and, in
STUDENT INFORMATION ITEMS

25 02

COURSE—Continued

some cases, award units. The process of assigning course titles, course codes, and award units
usually includes formal evaluation of the student's knowledge or skills by means of testing or
other institutionally approved procedures. See also AWARD UNITS, page 55. See also
STANDARDIZED TEST, page 51, for recording results of the College Level Examination Pro-
gram (CLEP) and other standardized tests.

25 02 10

Course Title

The name of a course as it appears in official institutional publications.

Information Items.

– Course Title at Secondary School
– Course Title at Previous Postsecondary Institution
– Course Title at Current Postsecondary Institution

25 02 20

Subject-Matter Area of Course

The subject-matter area which provides the basis for instruction within a specific course.
Codes for subject-matter areas are included on page 126. In some cases, the categories for
major and/or minor field of study listed on page 125 have been used to identify course
subject-matter areas.

Information Items.

– Subject-Matter Area of Course at Secondary Institution
– Subject-Matter Area of Course at Previous Postsecondary Institution
– Subject-Matter Area of Course at Current Postsecondary Institution

25 02 30

Course Code

The official number and/or other descriptor that serves to uniquely identify a course pro-
vided at a particular institution. Typically, this includes an identification of the subject-
matter area of the course and a course number.

Information Items.

– Course Code at Previous Postsecondary Institution
– Course Code at Current Postsecondary Institution

25 02 40

Length of Course

The period of time over which the course/section is scheduled (e.g., hours, days, weeks, and
months).

Information Items

– Length of Course at Previous Postsecondary Institution
– Length of Course at Current Postsecondary Institution

25 02 50

Beginning Date of Course

The calendar date or term on which course instruction begins. See appendix D, page 117, for
standard format for coding calendar date.
Student's Educational Experience—Continued

PARTICIPATION/PERFORMANCE—Continued

COURSE—Continued

Beginning Date of Course—Continued

Information Items:
- Beginning Date of Course at Previous Postsecondary Institution
- Beginning Date of Course at Current Postsecondary Institution

Ending Date of Course

The calendar date on which a student's activities associated with the course are expected to end (e.g., the date of the final examination). See appendix D, page 117, for standard format for coding calendar dates.

Information Items:
- Ending Date of Course at Previous Postsecondary Institution
- Ending Date of Course at Current Postsecondary Institution

Award Units For Course

The number or range of award units assigned to a course by the institution. Upon successful completion of the course, this number of units will be awarded to a student. See also AWARD UNITS, page 55.

Information Items:
- Award Units for Course at Secondary Institution
- Award Units for Course at Previous Postsecondary Institution
- Award Units for Course at Current Postsecondary Institution

GRADE (MARK)

A rating or evaluation of a student's achievement in a course.

Grade (Mark) Received For Course

The final grade (or mark) received by a student for achievement in a specified course. See also COURSE, page 52.

Information Items:
- Grade (Mark) Received for Course at Secondary School
- Grade (Mark) Received for Course at Previous Postsecondary Institution
- Grade (Mark) Received for Course at Current Postsecondary Institution

Grade-Point Average

A measure of a student's average performance in all courses taken during a reporting period, term, or academic year—or accumulated for several terms or years—except for those courses explicitly excluded by the institution from grade-point average calculations.
STUDENT INFORMATION ITEMS

Grade-Point Average—Continued

This numerical average is found by (1) multiplying the numerical grade or a number assigned to a nonnumerical grade (for each course to be included in average), by the number of award units (for each course in the average), (2) summing these results, and (3) dividing this sum by the total award units for all courses included. See also AWARD UNITS on this page.

Grade points for a course are obtained by multiplying the number of award units given for successful course completion by the numerical grade (or equivalents for nonnumerical grades) awarded for student performance (e.g., A = 4, B = 3, C = 2, D = 1, F = 0). An interpretation of grade points and grade-point average should be included when this information is sent outside the institution or system of institutions.

Information Items:
- Grade-Point Average at Secondary School
- Grade-Point Average at Previous Postsecondary Institution
- Grade-Point Average at Current Postsecondary Institution

Rank In Class

The relative numeric position of a student in a defined population of students based on grade-point averages, or some other measure of scholastic achievement.

Information Items:
- Rank in Class at Secondary Institution
- Rank in Class at Previous Postsecondary Institution
- Rank in Class at Current Postsecondary Institution

AWARD UNITS

A measure of the amount of value (or credit) received by a student for the successful completion of one or more educational experiences, such as a course or other type of learning experience. See also COURSE, page 52. Various units are used to measure such value, including: Semester Credit Hours, Quarter Credit Hours, Contact Hours/Clock Hours, Credit Units, Course Units, Units of Value, and Continuing Education Units (CEU).

The number of units to be awarded for the successful completion of a course is usually determined by a faculty committee (or equivalent body) upon consideration of factors such as difficulty of the course, the time expected of a student in contact with the faculty and otherwise (i.e., Contact Hours/Clock Hours and Total Hours), and the type of educational experience (e.g., lecture, laboratory, independent study).

When data pertaining to Award Units is transmitted outside the institution, the transmitting institution should specify the Award Unit used (e.g., Semester Credit Hour, CEU), and define the unit, where applicable, in terms of the total number of Award Units required for program completion and, if appropriate, the real-time factors of the Award Unit (i.e., Contact Hours/Clock Hours and Total Hours). See appendix B, pages 110 to 111, for a discussion of one method of equating Award Units.

Award Units Received for Course

The number of award units granted the student for successful completion of the course. See also COURSE, page 52.

Information Items:
- Award Units Received for Course at Secondary School
Student's Educational Experience—Continued

PARTICIPATION/PERFORMANCE—Continued

AWARD UNITS—Continued

Award Units Received for Course—Continued

- Award Units Received for Course at Previous Postsecondary Institution
- Award Units Received for Course at Current Postsecondary Institution

Award Units Accepted

The number of award units accepted by the current institution, usually from a previously attended institution, for application toward completion of a student's current requirements for a specified program. This includes award units accepted or awarded on the basis of examination (including the College-Level Examination Program (CLEP)), military courses, and various life experiences.

Information Item:
- Award Units Accepted at Current Postsecondary Institution

Total Award Units Accumulated

The cumulative number of award units a student has earned to date at a given institution.

Information Item:
- Total Award Units Accumulated at Current Postsecondary Institution

Total Award Units Accumulated Toward Formal Award

The total number of award units a student has earned which have been accepted or applied by the institution toward the completion of program requirements.

Information Item:
- Total Award Units Accumulated Toward Formal Award at Current Postsecondary Institution

Total Award Units Required for Completion of Program

The total number of award units which a student must earn to complete his/her program requirements. See also discussion on pages 110-111.

Information Item:
- Total Award Units Required for Completion of Program at Current Postsecondary Institution

FORMAL AWARD

A diploma, certificate, or degree awarded in recognition of the successful completion of a program of studies. Also included under this heading are certificates awarded for attendance or for the completion of a course. Certain other types of awards may appropriately be included under ACADEMIC HONORS, on page 59.

\[27\text{Such credit may be awarded by the institution on the basis of recommendations in Guide to the Evaluation of Educational Experiences in the Armed Forces, published by the American Council on Education.}\]
STUDENT INFORMATION ITEMS

25 05 00.01 None

.02 Certificate of Attendance – A document certifying the presence of the student at school during given years or on given days.

.03 Certificate of Completion – A document certifying the satisfactory completion of a single course. This document frequently is awarded for courses for which credit toward graduation is not granted. This document sometimes is referred to as a “certificate of training.”

.04 Certificate of Competency – A document certifying the attainment of a specified level of competency, as indicated by test results.

.13 Secondary School Diploma/Certificate – A formal document conferred by an educational institution or agency for the successful completion of a prescribed secondary school program of studies.

.14 *High School Diploma* – A diploma granted upon the successful completion of a prescribed secondary school program of studies.

.15 Certificate of High School Equivalency – A formal document issued by a State department of education or other authorized agency certifying that an individual has met the State requirements for high school graduation by attaining satisfactory scores on the Tests of General Educational Development or another State-specified examination.

.17 Postsecondary Certificate or Diploma for Less Than 1 Year – A diploma or certificate certifying the successful completion of a postsecondary program of studies equivalent to less than 1 year of full-time participation.28

.18 Postsecondary Certificate or Diploma for 1 Year or More – A diploma or certificate other than a degree certifying the successful completion of a postsecondary program of studies equivalent to 1 year or more of full-time participation.28

.20 Degree – An award conferred by a college, university, or other postsecondary education institution as official recognition for the successful completion of a college-level program of studies or, in some instances, as recognition for outstanding achievement or merit.

.21 Associate Degree – A degree granted for the successful completion of a program of studies requiring at least 2 but less than 4 years (or equivalent) of full-time college-level study.

.22 Bachelor’s Degree – A degree granted for the successful completion of a baccalaureate program of studies, usually requiring at least 4 years (or equivalent) of full-time college-level study.

.23 First-Professional Degree – A degree that signifies both (a) completion of the academic requirements for beginning practice in a given profession and (b) a level of professional skill beyond that normally required for a bachelor’s degree. This degree usually is based on a program requiring at least 2 academic years of work prior to entrance and a total of at least 6 academic years of work to complete the degree program, including both prior-required college work and the professional program itself. First-professional degrees are

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28 Full-time participation is discussed on pages 109-110.
PARTICIPATION/PERFORMANCE—Continued

25 05

FORMAL AWARD—Continued

25 05 00.20

Degree—Continued

23 First-Professional Degree—Continued
awarded in fields such as dentistry (D.D.S. or D.M.D.), medicine (M.D.), optometry (O.D.), osteopathic medicine (D.O), podiatric medicine (D.P.M.), veterinary medicine (D.V.M.), law (J.D.), and theological professions (M.Div. or M.H.L.)

24 Master’s Degree — An earned degree carrying the title of Master One type of Master’s degree— including the Master of Arts degree (M.A.) and the Master of Science degree (M.S.)—usually is awarded in the liberal arts and sciences for advanced scholarship in a subject field or discipline and demonstrated ability to perform scholarly research. A second type of master’s degree is awarded for the completion of a professionally-oriented program (e.g., in education (M.Ed.), in business administration (M.B.A.), in fine arts (M.F.A.), in music (M.M.), in social work (M.S.W.), in public administration (M.P.A.), and in other fields). A third type of master’s degree is awarded in professional fields for study beyond the first-professional degree (e.g., the Master of Laws (J.J.L.L.M.) and Master of Science in various medical specializations).

25 Specialist’s or Intermediate Degree An advanced professional degree, usually intermediate between the master’s degree and the doctorate. This degree is awarded principally in the field of education (i.e., Education Specialist [Ed.S.])

26 Doctor’s Degree — An earned degree carrying the title of Doctor. The Doctor of Philosophy degree (Ph.D) is the highest academic degree, and requires mastery within a field of knowledge and demonstrated ability to perform scholarly research. Other doctorates are awarded for fulfilling specialized requirements in professional fields such as education (Ed.D.), musical arts (D.M.A.), business administration (D.B.A.), and engineering (D.Eng. or D.E.S.). Many doctor’s degrees in both academic and professional fields require an earned master’s degree as a prerequisite. (First-professional degrees such as M.D. and D.D.S. are not included here but are included under First-Professional Degree above)

27 Other Degree. (Including Honorary Degree) A category of degree other than those included above. Any such degree should be specified.

25 05 10

Formal Award Sought (Specify)
The specific formal award which a student seeks to earn (e.g., Bachelor of Arts degree, Master of Arts degree, Master of Science degree). See above for examples of formal awards.

Information Items:
- Formal Award Sought at Current Postsecondary Institution
- Formal Award Sought at Subsequent Postsecondary Institution

25 05 20

Formal Award Earned (Specify)
The specific formal award earned by a student, whether or not formally presented to the student by the institution. See above for examples of formal awards.
STUDENT INFORMATION ITEMS

25 05 20

Formal Award Earned (Specify)—Continued

Information Items:
- Formal Award Received from Secondary School
- Formal Award Received from Previous Postsecondary Institution
- Formal Award Received from Current Postsecondary Institution
- Formal Award Received from Subsequent Postsecondary Institution

25 05 30

Formal Award Date

The calendar date or term when the formal award was conferred upon a student. See appendix D, page 117, for standard format for coding calendar date.

Information Items:
- Formal Award Date at Secondary School
- Formal Award Date at Previous Postsecondary Institution
- Formal Award Date at Current Postsecondary Institution
- Formal Award Date at Subsequent Postsecondary Institution

25 06

ACADEMIC HONORS

Any distinction conferred upon a student for outstanding academic achievement (e.g., award of Magna Cum Laude or election to Phi Beta Kappa).

Information Items:
- Academic Honors at Secondary School
- Academic Honors at Previous Postsecondary Institution
- Academic Honors at Current Postsecondary Institution
- Academic Honors at Subsequent Postsecondary Institution

26

TERMINATION

Data elements in this section may be used to describe the manner in which a student terminates his/her participation in the instructional program of the institution (i.e., by transferring, completing work, withdrawing, being dismissed, or dying).

26 01

TYPE OF TERMINATION

The basis on which the student terminates his/her registration and enrollment at the institution.

26 01 00.01
Completion of Program – Terminating enrollment in an institution upon graduating or otherwise fulfilling the requirements for a prescribed program of studies, including completion of a program preparatory to pursuing study at another institution.

.02
Transfer – Terminating enrollment in the institution, before completing a program of studies, to continue study at another institution.

.03
Withdrawal – Voluntarily terminating enrollment in an institution before completing a program of studies, for reasons other than transferring, dismissal, or death.

.04
Dismissal – Being expelled from an institution before completing a program of studies, for disciplinary and/or academic reasons.

.05
Death – Terminating enrollment in an institution because of death.
Student’s Educational Experience—Continued

TERMINATION—Continued

26 01

TYPE OF TERMINATION—Continued

Information Items:

– Type of Termination from Secondary Institution
– Type of Termination from Previous Postsecondary Institution
– Type of Termination from Current Postsecondary Institution

26 02

STUDENT STANDING AT TIME OF TERMINATION

The standing of the student at the time of his/her termination. See also STUDENT STANDING, page 45, for definitions of the following categories.

26 02 00.01

Good Standing

02

Academic Probation

03

Academic Suspension

04

Disciplinary Probation

05

Disciplinary Suspension

06

Leave of Absence

09

Other Standing (Specify)

Information Item:

– Student Standing at Time of Termination From Current Postsecondary Institution

26 03

REASON FOR TRANSFER/withdrawal

The official reason, if known, for the student’s transferring to another educational institution or withdrawing from the institution. See also TYPE OF TERMINATION above.

26 03 00.01

Physical Reason – Physical illness, physical or sensory disability, pregnancy, or death.

02

Academic Reason – Taking opportunity to accelerate program, completed/achieved educational objective, seeking advanced preparation beyond the program being completed at the current institution (e.g., transferring from a junior college to a university), seeking better career opportunities, academic difficulty, and inappropriate curriculum.

03

Social Reason – Seeking more or different social activities, seeking better opportunities to maximize personal and intellectual development, general dislike of school experience, marriage, and seeking practical work experience.

04

Economic (Financial) Reason – Found employment for which qualified prior to completion of program (the skills required may be related to preparation provided by the institution), need to seek or accept employment which precludes continuing study at this time, need to attend less expensive school, and inability to pay school expenses.

08

Reason Unknown (or Not Specified)

09

Other Reason for Transfer/Withdrawal (Specify) A reason for transfer/withdrawal which cannot be included in any of the above general categories.
26 03

REASON FOR TRANSFER/WITHDRAWAL—Continued

Information Item.
- Reason for Transfer/Withdrawal from Current Postsecondary Institution

26 04

DATE OF LAST ATTENDANCE

The year, month, and day on which a student last attended classes. See appendix D, page 117, for the standard format for coding calendar date.

Information Item
- Date of Last Attendance at Current Postsecondary Institution

26 05

TERMINATION DATE

The calendar date or academic term or year on which a student’s termination is official and he/she ceases to be registered in the institution. See appendix D, page 117, for the standard format for coding calendar date.

Information Item
- Termination Date at Current Postsecondary Institution
FIGURE 2C—LIST OF DATA ELEMENTS: STUDENT'S EMPLOYMENT EXPERIENCE

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<tr>
<td>31 02 80 No Earnings</td>
<td>66</td>
<td>32 01 90 Other Earnings</td>
<td>66</td>
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</tbody>
</table>

The inclusion of a data element does not imply that data must be collected for the data element. Factors such as the nature and specificity of information needs, availability of data, and confidentiality of student data should be considered in determining whether, when, and how to collect data.
3 Student's Employment Experience

This major division of the classification consists of two subdivisions, Civilian Employment Experience and Military Service Experience. Data elements within these subdivisions are combined with the time-frame qualifiers to form information items which are concerned with a student's employment and military service experiences. Refer to appendix A, pages 100-102 for a tabular presentation of information items formed by combining the data elements in this division with time-frame qualifiers.

31 CIVILIAN EMPLOYMENT EXPERIENCE

Data elements in this section, when combined with the time-frame qualifiers "previous," "current," and "subsequent," form information items which can be used to describe a student's employment experiences, including work performed by the student outside the institution (whether during regular terms or during vacation) and any participation in the institution's College Work-Study Program. In addition, information items formed from these terms may be used to describe the student's or applicant's employment before entering the institution and the student's (alumnus'/alumna's) employment following his/her education training.

31 01 CIVILIAN EMPLOYMENT

Work performed for which a person receives a wage, salary, fee, profit, services, or other benefits.

31 01 10 Name of Employer

The name of the organization or individual employing a person.

Information Items:
- Name of Previous Employer
- Name of Current Employer
- Name of Subsequent Employer

31 01 20 Address of Employer

The address of a person's employer. See also ADDRESS, page 22.

Information Items:
- Address of Previous Employer
- Address of Current Employer
- Address of Subsequent Employer

31 01 30 Standard Industrial Classification (SIC) of Employer

An indication of the principal type of industrial activity in which a person's employer is engaged. Standard Industrial Classification (SIC) Codes categorizes industries in the following general groupings. If further detail is required, it is recommended that the detailed classifications of the publication be utilized.

Student's Employment Experience—Continued

31 CIVILIAN EMPLOYMENT EXPERIENCE—Continued

31 01 CIVILIAN EMPLOYMENT—Continued

31 01 30 Standard Industrial Classification (SIC) of Employer—Continued

.01 Agriculture, Forestry, and Fishing
.02 Mining
.03 Construction
.04 Manufacturing
.05 Transportation and Public Utilities
.06 Wholesale Trade
.07 Retail Trade
.08 Finance, Insurance, and Real Estate
.09 Service
.10 Public Administration
.11 Nonclassifiable Establishments

Information Items:
- Standard Industry Classification of Previous Employer
- Standard Industry Classification of Current Employer
- Standard Industry Classification of Subsequent Employer

31 01 40 Work Performed

The nature of the principal work performed by a person. The multiple-choice response categories under Occupation Category, page 17, can be used to indicate the nature of work performed.

Information Items:
- Previous Work Performed
- Current Work Performed
- Subsequent Work Performed

31 01 50 Employment Status

The amount of time worked by a person based on the number of hours worked per week and consecutive months of employment.

.10 Employed — A person who works as a paid employee; who works in his/her own business, profession, or farm; or who works 15 hours or more per week as an unpaid worker in a family business.

.11 Full-Time Regular Employment — Employment which has occurred and/or is expected to continue for a period of 6 months or more and for no fewer than 35 hours per week.

.12 Part-Time Regular Employment — Employment which has occurred and/or is expected to continue for a period of 6 months or more and for fewer than 35 hours per week.
STUDENT INFORMATION ITEMS

31 01 50.10 Employed—Continued

31 01 50 .13 Full-Time Temporary Employment — Employment which has occurred and/or is expected to continue over a period shorter than 6 months and for at least 35 hours per week.

.14 Part-Time Temporary Employment — Employment which has occurred and/or is expected to continue over a period shorter than 6 months and for fewer than 35 hours per week.

.20 Unemployed — A person who is not working but is seeking work.

.30 Not in Labor Force — A civilian, 16 years of age or older, who is not classified as employed or unemployed.

Information Items:
— Previous Employment Status
— Current Employment Status
— Subsequent Employment Status

31 01 60 Dates of Employment

The two calendar dates defining the length of a person’s continuous employment by a single employer. For ongoing employment, the second date will not be entered until the employment is terminated. See appendix D, page 117, for the standard format for coding calendar date.

Information Items:
— Dates of Previous Employment
— Dates of Current Employment
— Dates of Subsequent Employment

31 01 70 Relationship of Job to Major Field of Study

An indication of the relationship between the student’s occupation and his/her major field of study. See also MAJOR FIELD OF STUDY, page 49.

.01 Related Work — Skills and competencies required for obtaining and maintaining the job have been derived substantially from the major field of study.

.02 Unrelated Work — Skills and competencies required for obtaining and maintaining the job have not been substantially derived from the major field of study.

.03 No Determination Made

Information Items:
— Relationship of Previous Job to Major Field of Study
— Relationship of Current Job to Major Field of Study
— Relationship of Subsequent Job to Major Field of Study

31 01 80 Hours Worked Weekly

The average number of hours worked per week by a person

Information Item:
— Hours Currently Worked Weekly
Student’s Employment Experience—Continued

CIVILIAN EMPLOYMENT EXPERIENCE—Continued

EARNINGS RATE

The rate at which a person is paid by his/her employer, or the amount earned for specific work. This rate may be expressed as the gross dollar amount earned on an hourly, weekly, monthly, semester, annual, or other basis. See EARNINGS on page 26 for the definition of earnings.

Hourly Wage Rate

The gross dollar amount earned by a person on an hourly basis, as opposed to a fixed salary income.

Weekly Earnings Rate

The gross dollar amount earned by a person on a weekly basis.

Monthly Earnings Rate

The gross dollar amount earned by a person on a monthly basis.

Other Earnings Rate

The gross dollar amount earned by a person on a basis other than an hourly, weekly, or monthly rate (e.g., a biweekly, semester, or annual basis). The amount and basis should be specified.

No Earnings

No cash income, goods, or services received (as in the case for volunteer work or for work performed entirely for the benefit of experience).

Other Earnings

The gross dollar amount earned for completing a specific job, or the dollar value of services and/or goods received on a regular basis in lieu of wages (e.g., meals or lodging). The dollar amount (or value) and basis should be specified.

Information Items:
- Current Earnings Rate
- Subsequent Earnings Rate

U.S. MILITARY SERVICE EXPERIENCE

Data elements in this section, when combined with the qualifiers “previous,” “current,” and “subsequent,” form information items which may be used to describe a student’s U.S. military service experience, including the branch of service and dates of service membership. Any specialized training with civilian application and/or postsecondary education received by the student while in the military service can be described by using the appropriate terms and qualifiers included under STUDENT’S EDUCATIONAL EXPERIENCE, pages 32 to 61.

MILITARY SERVICE

Military service is included as a subdivision of student’s employment experience because it can be described as an occupation. A section on Military Service separate from that of other
MILITARY SERVICE—Continued

employment has been included because of the unique vocabulary required to describe it, and
because these terms, in combination with qualifiers, are used in determining a person’s eligibil-
ity for certain government benefits.

32 01 10 Branch of Military Service

.01 Army
.02 Navy
.03 Marine Corps
.04 Air Force
.05 Coast Guard

Information Items:

— Branch of Previous Military Service
— Branch of Current Military Service
— Branch of Subsequent Military Service

32 01 20 Military Status

Status of a person with respect to his/her participation in military service.

.10 Active Duty
.20 Reserve or National Guard Component
   .21 Active
   .22 Inactive
.30 Retired (includes Fleet Reserve)
.40 Discharged
.50 Never Served

Information Items:

— Previous Military Status
— Current Military Status
— Subsequent Military Status

32 01 30 Military Identification Number

A unique number, if other than the Social Security number, used by the Armed Forces to
develop each of its members.

Information Items.

— Previous Military Identification Number
— Current Military Identification Number

32 01 41 Student’s Primary Military Specialty Number and Title

The numeric or alphanumeric code used by a military service to identify the military occupa-
tional skills in which an individual is predominantly qualified. Each service uses a different
term or code. For example, in the Army and Marine Corps, it is the MOS (Military Occupa-
tion Specialty); in the Navy, the Rating/NEC (Navy Enlisted Classification); in the Air
Force, the AFSC (Air Force Specialty Code); in the Coast Guard, the Rating. (When needed,
indicate the number and title in effect at the time of discharge.)
Student's Employment Experience—Continued

32 01 41 Student's Primary Military Specialty Number and Title—Continued

Information Items:
- Student's Previous Primary Specialty Number and Title
- Student's Current Primary Specialty Number and Title
- Student's Subsequent Primary Specialty Number and Title

32 01 42 Student's Additional Military Specialty Number and Title

The numeric or alphanumeric code(s) used by a military service to identify an additional military occupational skill in which an individual is qualified. Each service uses a different term or code. For example, in the Army and Marine Corps, it is the MOS (Military Occupation Specialty); in the Navy, the Rating/NEC (Navy Enlisted Classification); in the Air Force, the AFSC (Air Force Specialty Code); in the Coast Guard, the Rating.

Information Items:
- Student's Previous Additional Military Specialty Number and Title
- Student's Current Additional Military Specialty Number and Title
- Student's Subsequent Additional Military Specialty Number and Title

32 01 50 Education-Related Military Experiences

Military experiences having particular significance in relation to the person's subsequent education.30

32 01 61 Date Entered Active Duty

The year, month, and day on which a person entered active duty in the Armed Forces. See appendix D, page 117, for the standard format for coding calendar date.

Information Items:
- Date Entered Previous Active Duty
- Date Entered Current Active Duty
- Date Entered Subsequent Active Duty

32 01 62 Date Released From Active Duty

The year, month, and day on which a person was released from the Armed Forces. See appendix D, page 117, for the standard format for coding calendar date.

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30The nature of many military-related experiences may be derived from Guide to Educational Experiences in the Armed Forces, a document prepared by the Office on Educational Credit (OEC) of the American Council on Education, 1 Dupont Circle, Washington, D.C. 20036. This Guide contains (1) credit recommendations for formal courses offered by the Department of Defense and the branches of the Armed Services and (2) recommendations for educational credit and advanced standing in apprentice training programs for the skills, competencies, and knowledge demonstrated by proficiency in enlisted military occupational specialties (MOSs). The Guide is designed to assist in the academic advising of students and in placing persons in apprentice training programs and jobs. Similar information for Air Force technical programs may be derived from the General Catalog of the Community College of the Air Force, Lackland Air Force Base, Texas 78236.
STUDENT INFORMATION ITEMS

32 01 62
Date Released From Active Duty—Continued
Information Items.
– Date Released From Previous Active Duty
– Date Released From Subsequent Active Duty

32 01 70
Rank at Separation
The military rank of a person at the time of his/her separation from the Armed Forces.

.01
Enlisted Person — A person with a grade corresponding to E1 through E9.

.02
Warrant Officer — A person with a grade corresponding to W1 through W4.

.03
Commissioned Officer — A person with a grade corresponding to O1 through O10.

Information Items:
– Rank at Previous Separation
– Rank at Subsequent Separation

32 01 80
Veteran's Status
The student's status as a veteran or nonveteran. A veteran is a person who served on active duty as a member of the Armed Forces of the United States and was discharged or released therefrom under conditions other than dishonorable. National Guard personnel and reservists called to active duty for civil disturbances, disasters, or training for a limited period are not considered veterans under this definition. A person who has been an active duty member of the Armed Forces for more than 180 days may be eligible for some veterans' educational benefits. (See also item 32 01 20 on page 67.)

.01
An Active Duty Member of the Armed Forces

.02
A Veteran (other than an active duty member of the Armed Forces)

.03
A Nonveteran

Information Item:
– Current Veteran's Status

32 01 90
Participation in Veterans' Educational Benefits
An indication as to whether or not the student is receiving educational benefits from the Veterans Administration.

.01
Receiving Veterans' Educational Benefits
Not Receiving Veterans' Educational Benefits

Information Item:
– Current Participation in Veterans' Educational Benefits
This chapter presents general technical principles and procedures for safeguarding the confidentiality of student data. As of this writing, these procedures are consistent with the requirements of the Family Educational Rights and Privacy Act (FERPA) of 1974, in the following discussion each term or principle clearly related to FERPA and to related Federal regulations is so identified. Moreover, officials of educational agencies are advised to keep in mind that the provisions of the Act and applicable regulations upon which much of the content of this chapter is based are subject to change, as legislation and governmental regulations are amended and/or approved.

It is beyond the scope of this chapter to address the more controversial aspects of the confidentiality issues contained in existing Federal laws and regulations, principally in the Family Educational Rights and Privacy Act. Persons with specific questions should consult the legislation, official government regulations, the Department of Education FERPA Office, and/or legal counsel, as appropriate.

CONCERNS ABOUT CONFIDENTIALITY

Data about postsecondary students are systematically collected, recorded, processed, and disseminated for a wide variety of uses. Student information systems contain records of the characteristics, activities, and performance of students. Electronic data processing has provided the technology necessary to amass and process data to improve policy and administrative decisions.

Concerns arise, however, as to what student data are necessary and ought to be collected to assist managers and faculty, and to support the personal and academic development of the student. Given the sensitive nature of some student data (e.g., racial/ethnic group, family background, and income), additional concerns have been expressed as to the accuracy of the data in student records, the possible use of these data for purposes other than those for which they were originally collected, and their accessibility to individuals without a legitimate "need-to-know."

Thus, the availability of student records collected by postsecondary educational institutions has the potential to pose a significant conflict between legitimate
information requirements and the student's right to privacy. In attempting to balance the desire for individual privacy with governmental and/or institutional information requirements, administrators have focused their attention on the issues of confidentiality and security of student data.

In 1973, as the result of a study conducted by the Secretary's Advisory Committee on Automated Personal Data Systems, it was recognized that such systems pose a potential threat to an individual's right to privacy. The Committee, noting that the individual and the record-keeping organization have a mutual interest in the use of data records for specific purposes, offered the following concept regarding personal privacy:

An individual's personal privacy is directly affected by the kind of disclosure and use of identifiable information about him in a record. A record containing information about an individual in identifiable form must, therefore, be governed by procedures that afford the individual a right to participate in deciding what the content of the record will be, and what disclosure and use will be made of the identifiable information in it. Any recording, disclosure, and use of identifiable personal information not governed by such procedures must be described as unfair information practice unless such recording, disclosure, or use is specifically authorized by law.

Although this concept of personal privacy does not suggest a method for determining which data can be recorded and used, it does establish the individual's right to participate in any deliberations concerning the recording and use of identifiable personal data.

To provide safeguards for personal privacy as formulated above, the Committee recommended adherence to the following five fundamental principles for both administrative personal data systems and statistical reporting and research systems:

- There must be no personal data recordkeeping systems whose very existence is secret.
- There must be a way for an individual to find out what information about him is in a record and how it is used.
- There must be a way for an individual to prevent information which was obtained about him for one purpose from being used or made available for other purposes without his consent.
- There must be a way for an individual to correct or amend a record of identifiable information about him.
- Any organization creating, maintaining, using, or disseminating records of identifiable personal data must ensure the reliability of the data for their intended use and must take reasonable precautions to prevent misuse of the data.

The remainder of this chapter is devoted to guidelines and procedures for safeguarding student education records—procedures based upon the five basic rules just cited and reflecting the provisions of the Family Educational Rights and Privacy Act of 1974 and the applicable Federal regulations.

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3Ibid., pp. 40-41.
4Loc. cit.
5As excerpted from 45 C.F.R. 99.3 (1979), a student's education records means: those records which (1) are directly related to a student, and (2) are maintained by an educational agency or institution or by a person acting for such agency or institution. The term does not include:

1. Records of instructional, supervisory, administrative, and educational personnel which are in the sole possession of the maker and which are not accessible to or revealed to any other individual except a substitute, as permitted by the regulations.
2. Records of a law enforcement unit of an educational agency or institution which are maintained apart from the student's education records, are maintained solely for law enforcement purposes, and are not disclosed to individuals other than law enforcement officials of the same jurisdiction.
3. Records which relate to an individual who is employed by an educational agency or institution and which (1) are made and maintained in the course of business, (2) relate exclusively to the individual in that individual's capacity as an employee; and (3) are not available for use for any other purpose. This paragraph does not apply to records relating to an individual in attendance at the educational institution or agency who is employed as a result of his or her status as a student—that is, the student's employment records are considered to be part of that person's education record.
4. Records which relate to a student who has attained 18 years of age or is attending a postsecondary educational institution, and which are created or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in a professional or paraprofessional role, or assisting in that capacity; created, maintained, or used only in connection with the provision of treatment to the student; and not disclosed to anyone other than individuals providing the treatment, unless the records can be personally reviewed by a physician or other appropriate professional of the student's choice. Moreover, treatment does not include remedial educational activities or activities which are part of the program of instruction at the educational agency or institution.
5. Records of an educational agency or institution which contain only information relating to a person after that person was no longer a student at the educational agency or institution.
GUIDELINES FOR CREATION OF STUDENT RECORDS AND COLLECTION OF DATA

Of primary importance in developing student records and in safeguarding their confidentiality is the determination, through appropriate information management practices, that the items of information collected and maintained are both accurate and necessary to the proper functioning of the institution and/or the personal and academic growth of the student. Assuring the accuracy of data reduces the possibility that the legitimate use of these data will lead to erroneous or invalid conclusions. Ascertain the necessity of data reduces the amount of information and therefore the likelihood of errors, improper uses, and breakdowns in information security. Thus, the information to be collected and maintained should have a "declared, clear, and justifiable purpose related to the education of the student."6

Individual postsecondary educational institutions should respect this purpose by establishing guidelines for the development and maintenance of student records, in accordance with applicable laws and governmental regulations.7 In keeping with well-defined procedures developed and adopted by the institution, items in each student's record should be carefully chosen and just as carefully collected.

In general, institutions should:8

SELECT

- only information which can assist the student with academic, personal, and occupational decisions.
- information of permanent or semipermanent value.
- information required by State or Federal law.

EXCLUDE

- information judged irrelevant to the student's welfare.
- inaccurate information.
- information of temporary value.
- information which will not be used or is no longer needed.

GUIDELINES FOR MAINTAINING ACCURATE AND RELEVANT STUDENT EDUCATION RECORDS

The objective of maintaining records which are necessary and correct and which protect student privacy can be achieved through the formulation and implementation of policies and procedures—as required by Federal regulations—which:

1. Provide that students be (a) notified annually of their rights under FERPA, and (b) apprised as to where copies of the policy relative to FERPA may be obtained.9

2. Permit students to inspect and review their own education records; and provide a statement of the procedure to be followed by students to make such a request, a listing of the types and location(s) of education records maintained by the institution, the titles and addresses of the officials responsible for those records, and the price of copies.10 This right to inspection also includes the requirement that the institution comply with the student's review request within 45 days, respond to requests for explanations and interpretations of these records, and provide copies of the records where failing to do so would effectively prevent a student from exercising the right to inspect and review his/her education records.11

3. Restrict disclosure of personally identifiable information from the education records of a student without his/her prior written consent, except as otherwise permitted by statute (see pages 74 to 76 for a discussion of disclosure).12

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7 See Russell Sage Foundation, pp. 5-18, for a suggested procedure designed to ensure the proper selection of student information items.
10 45 C.F.R. 99.5(a)(2)(1979) and 45 C.F.R. 99.11(1976). In addition to the exceptions to education records cited in Section 99.3 of the Federal regulations, (see page 72, footnote 5).
11 45 C.F.R. 99.12(1979) of Subpart B lists the following exemptions to a student's right of access at the postsecondary level (1) their parents' financial files; (2) confidential letters and statements of recommendation filed in a student's education records prior to January 1, 1975, if these items were solicited with written assurance of confidentiality or retained with such an understanding; and (3) confidential letters and statements of recommendation filed in a student's education records after January 1, 1975, relating to admission to an educational institution, an application for employment, or the receipt of an honor or honorary recognition, if the student has voluntarily waived his/her right to see these particular records.
124 45 C.F.R. 99.5(a)(3). The definition of the term "personally identifiable" appears in Section 99.3 of the regulations. Permissible and mandatory disclosures without prior written consent of the student are listed in 45 C.F.R. subpart D of Part 99, sections 99.31 through 99.37 and in FERPA, section 438(b)(1).
4 Usually require that a record kept of disclosures made from the education records of a student, and permit the student to review this record (refer to pages 75 and 76 for a discussion of this topic). and

5 Allow students to challenge the contents and seek correction of their education records through a request to amend them to the institution maintaining the records, or through a hearing to challenge their contents. Such a student request must be acted on by the institution within a reasonable period of time following the receipt of the request. Federal regulations require that if the institution decides not to amend a student's education record based upon his or her request, the institution must inform the student of such a refusal and of the student's right to a hearing. An institution must permit a student-requested hearing to ensure that the information in the student's education record is not inaccurate, misleading, or otherwise in violation of his or her privacy or other rights. However, a hearing may not be requested to contest the assignment of a grade (or mark) given a student's performance in a course. Nevertheless, a student may request a hearing to challenge whether a grade was improperly recorded in the education record. The hearing must be scheduled and held within a reasonable period of time after the request has been made, and the student must be advised of the date, place, and time of the hearing. The officer assigned to conduct the hearing must be one who has no direct interest in its outcome. At the hearing, the student must have the opportunity to present evidence, and may be assisted or represented by individuals of his or her choice. Evidence in support of the challenged data in the student's education records may be presented by the institution. Finally, a decision, based solely on the evidence presented at the hearing, including a summary of the evidence and the reasons for the decision, shall be provided in writing by the institution. The decision must be made within a reasonable period of time after the hearing is concluded.

If the decision sustains the student's contention that the information is faulty, the institution shall amend the student's record and inform the student in writing. If the decision is unfavorable to the student (i.e., the information is judged accurate), the student shall have the right to place a statement into his or her records commenting upon the information in the record and/or indicating any objections to the institution's decision. The student's statement shall be maintained as part of the student's record until such time as the contested information is removed, and shall be disclosed if and when the contested data are disclosed.

Thus, if policies and procedures leading to the maintenance of accurate and relevant student records are to be carried out successfully, students must know what records are maintained by the institution, the titles and addresses of the persons responsible for them, and where the records are located. Moreover, students' rights relative to the inspection and review of their education records must be established and the students must be fully informed of their rights, and of procedures they must follow to challenge and request correction of these records.

GUIDELINES FOR THE DISCLOSURE OF STUDENT EDUCATION RECORDS

As prescribed by Federal law, a postsecondary educational institution must grant to students and to former students at their request, access to their education records. Excluded from this category are applicants for admission who were not admitted, or if...
admitted, who did not attend the institution. Generally, for requests of other parties, the prior written consent of the student is required before a postsecondary education institution or agency may disclose a student's education record or personally identifiable information contained therein. The written consent obtained from the student must be signed and dated by the student giving consent, specifying the education records to be disclosed, indicating the purpose or purposes of the disclosure, and stating the party or class of persons to whom the disclosure may be made.

Exceptions to the prior written consent requirement stated in the previous discussion include, in addition to mandatory disclosure by the education agency or institution to the student who requests access to his or her own education records—release of information classified as directory information. An education institution or agency has some discretion in deciding what items to categorize as directory information. According to Federal regulations, the educational institution or agency may include as directory information such information items as the student's name, address, telephone number, birthdate and birthplace, major field of study, participation in officially recognized activities and sports, weight and height of members of athletic teams, dates of attendance, degrees and awards received, previous educational agency or institution most recently attended, and other similar information. (This list is illustrative and is not intended to be exhaustive.) Directory information may be released without the prior written consent of the student, if the educational institution or agency gives public notice of the information items it has designated as directory information, and of the right of a student to refuse to permit the inclusion of any or all of such information items about that student as directory information. Once the student has had a reasonable opportunity to respond to such notice, the educational institution or agency may then release directory information for any student who has not objected to such disclosure. These conditions regarding the disclosure of directory information must be followed only in the case of a student who is in attendance at the educational institution or agency.

Other exceptions to the prior written consent requirement include disclosures to specific parties or for particular purposes, as provided in FERPA and the Federal regulations. These exceptions are summarized below.

1. To school officials within the institution with a legitimate educational interest, as determined by the institution.
2. To officials of other institutions in which a student intends to enroll, as specified by Federal regulations.
3. To certain authorized representatives of the United States or State agencies in connection with the audit and evaluation of Federally supported educational programs or in relation to the enforcement of, or in compliance with, the Federal legal requirements associated with those programs.
4. To certain authorized representatives of the United States or State agencies in connection with purposes other than those for which mandatory disclosure is required.
5. In connection with the application for or receipt of financial aid.
6. In connection with State statutes adopted prior to November 19, 1974, that specifically require the release of such information to State and local officials or authorities.
7. To organizations conducting certain studies for or under the sponsorship of educational agencies or institutions which are being requested to disclose their records for the purpose of developing, validating, or administering predictive tests, administering student aid programs, and improving instruction.

Note: The permissible nature of the disclosures contained in this list does not automatically protect an educational institution or agency from any liabilities or penalties that might accrue from noncompliance with a Federal and/or State statute or judicial order or subpoena.
8. to accrediting organizations in order to carry out their accrediting functions.
9. to parents of a dependent student, as defined in section 152 of the Internal Revenue Code of 1954;
10. in compliance with a judicial order or lawfully issued subpoena, as provided by Federal regulations; and
11. to appropriate parties in a health or safety emergency, in compliance with legal requirements for designating and releasing such information, as provided by Federal regulations.

FERPA provides that disclosure to an organization, institution, agency, or individual, in accordance with approved institutional procedures, may be made only on the condition that such party will not redisclose these records to any other party without the prior written consent of the student. Officers, employees, and agents of an institution, agency, or organization to which personally identifiable information from the education records of a student has been disclosed may use this information, but only for the specific purpose(s) for which it was initially disclosed. A party obtaining information from a postsecondary education institution or agency without the prior written consent of a student, as permitted by law, may redisclose the information to another party who could obtain this information directly from the institution or agency without the prior written consent of the student, if the initial disclosure (by the institution) was made with the understanding that redisclosure could take place. Evidence of this understanding on the part of the institution making the initial disclosure would be an accounting of such a redisclosure by that institution, kept in accordance with the recordkeeping requirements in the discussion that follows.

A student is generally entitled to know the identity of those parties to whom his or her educational record has been disclosed. Therefore, a written record must be maintained regarding each request for, and each disclosure of, personally identifiable information from the student's education records. Exceptions to this recordkeeping requirement involve those situations in which the request for disclosure or the disclosure itself is for directory information, or is made to the student, to institutional officials having a "legitimate educational interest," or to a party or parties specifically designated in the written consent of the student.

The record of disclosures must be available for inspection by the student and by officials of the institution responsible for the custody of these records. The record of disclosures must include the identity of parties requesting or obtaining access to the student's records, the date and purpose of the request, a citation of the legitimate interest these parties had in requesting or in obtaining the information, the information requested, and the action taken on the request.

**SUMMARY**

Fundamental to any discussion of confidentiality— and to policy development at local and State levels—are those students' rights that are defined by law. Accordingly, educators are urged to consult and become familiar with those statutes and governmental regulations which pertain to the confidentiality of student records. For example, legislation may

- require, as does the Family Educational Rights and Privacy Act, policies to ensure confidentiality of student records and to ensure students' rights to inspect and challenge these records;
- require disclosure of records pursuant to legal process;
- protect confidential communication;
- define invasion of privacy;
- define the procedures constituting consent (e.g., for releasing a record) and state who may give consent;
- define negligence, and
- limit charitable and governmental immunity (i.e., in some instances educators may not be exempt from prosecution for harm done to students as a result of negligence with respect to infringement on the right of privacy).

If effective action is to be taken in protecting or guaranteeing confidentiality, knowledge of the laws is essential. Data handling procedures must comply with the laws.

To assure that legal requirements are met and that ethical and moral responsibilities are carried out appropriately and effectively, educational agencies and institutions are expected to establish written policies and
DATA MANAGEMENT AND CONFIDENTIALITY

Major responsibility should be assigned for assuring the effective implementation of policies and procedures designed to maintain the confidentiality of student records. This responsibility might rest with the board of trustees, with a designated official, or with a committee competent to review policies, procedures, and activities involving student records.

The individual or group appointed should be assigned responsibility for ensuring that student data are collected, stored, accessed, used, and discarded in such a way that:

- the rights and welfare of students are adequately protected.
- the potential benefits to students resulting from any particular use of their records outweigh the potential risks.
- informed consent is obtained from students or parents, by adequate, appropriate, and efficient methods, for including certain data in student records and using them (or releasing them) for specified purposes.

Continuing, constructive communication should be maintained between the responsible official or group and the trustees, administrators, and members of the staff who handle student data. Further appropriate and informative records should be maintained for the designated official or group to use when reviewing policies and procedures or when examining documentation of informed consent or other documentation that may pertain to the collection, use, and release of student records. All activities of the responsible parties should be conducted with objectivity, and in such a manner as to ensure the exercise of unbiased judgment by participants.

Finally, an education agency or institution should periodically reassure itself, through appropriate continuing review that the policies and procedures designed for protecting the rights of its students are being effectively applied.

Guidelines for maintaining the confidentiality of student records. Such policies and guidelines should state principles and procedures for:

- Selecting appropriate information items for student records.
- Carefully collecting these items.
- Using sampling techniques wherever possible for research or statistical purposes rather than obtaining data from student records of all possibly relevant students or institutions.
- Maintaining relevant, accurate, and confidential records.
- Carefully screening persons who will handle confidential information.
- Carefully defining conditions under which access to student records by school personnel is permitted.
- Safeguarding data (or restricting access) while those data are in the possession of any contracting organization.
- Safeguarding individual student records being transferred to other institutions, State education agencies, and elsewhere.
- Safeguarding data tapes being transferred among agencies.
- Transferring personal information to an authorized third party only on the condition that this third party not permit any other party or have access to the information without the written consent of the student, as appropriate.
- Concealing the identity of individuals or institutions desiring or entitled to confidentiality, through appropriate procedures for aggregating, encoding, and releasing sensitive data.
- Destroying record data no longer needed.
Appendix A

INFORMATION ITEM TABLES

This appendix is a reference guide to information items listed for each data element in chapter 2. The information items are presented in tabular format and follow the same classification sequence used in chapter 2.

Appropriate qualifiers and data elements are shown in the tables as column and row titles, respectively. An information item formed from a particular data element and qualifier is listed in the table under the appropriate qualifier and opposite the constituent data element.

The general description or definition of an information item, a data element, and a qualifier is provided in chapter 2, page 8. The definition of a particular information item can be constructed by referring to the definitions of the component data element and qualifier.1

The tabular presentation of information items organized by classification divisions shows (1) the full scope of information items, data elements, and qualifiers in the handbook, (2) the multiple uses of a data element as a component of information items, and (3) the relationship between classification divisions and corresponding data elements, qualifiers, and information items. This presentation may facilitate the location and interpretation of items by users of postsecondary student data.

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1The applicability of such derived definitions has been tested for only the information items shown in chapter 2.
I. DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS

This major information category consists of the following subcategories:

- Personal Identification and Characteristics, p. 12
- Residence, p. 22
- Educational/Occupational Aspirations, p. 24

Information items in these respective subcategories may be used to identify an individual student and describe the student's socioeconomic background, including family and residence information, the student's educational and occupational aspirations, and aspects of his/her financial situation.
FIGURE A-1.—DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS

I. PERSONAL IDENTIFICATION AND CHARACTERISTICS

Items of information in this Section may be used to identify an individual—e.g., a student, the student’s parents, and the student’s spouse—and to describe various personal characteristics of these individuals, including their socioeconomic background and family situation.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Student</th>
<th>Female Parent</th>
<th>Male Parent</th>
<th>Parents</th>
<th>Spouse</th>
</tr>
</thead>
<tbody>
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<td></td>
<td></td>
</tr>
<tr>
<td>a Legal Name</td>
<td></td>
<td>12</td>
<td>Student’s Legal Name</td>
<td>Female Parent’s Legal Name*</td>
<td>Male Parent’s Legal Name*</td>
<td></td>
<td>Spouse’s Legal Name*</td>
</tr>
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<td>b Any Other Name</td>
<td></td>
<td>1</td>
<td>Any Other Name of the Student</td>
<td>Date of Student’s Death</td>
<td>Date of Female Parent’s Death*</td>
<td>Date of Male Parent’s Death*</td>
<td></td>
</tr>
<tr>
<td>2 Birthdate</td>
<td></td>
<td>12</td>
<td>Student’s Birthdate</td>
<td>Date of Student’s Death</td>
<td>Date of Female Parent’s Death*</td>
<td>Date of Male Parent’s Death*</td>
<td></td>
</tr>
<tr>
<td>3 Birthplace</td>
<td></td>
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<td>Student’s Birthplace</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Date of Death</td>
<td></td>
<td>13</td>
<td>Date of Student’s Death</td>
<td>Date of Female Parent’s Death*</td>
<td></td>
<td></td>
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<td>Student’s Racial Ethnic Group</td>
<td>Date of Female Parent’s Death*</td>
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<td>6 Sex</td>
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</tr>
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<td>14</td>
<td>Student’s Country of Citizenship</td>
<td>Date of Female Parent’s Death*</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Citizenship Status</td>
<td>14</td>
<td>Student’s Citizenship Status</td>
<td>Date of Female Parent’s Death*</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 Social Security Number</td>
<td>15</td>
<td>Student’s Social Security Number</td>
<td>Date of Female Parent’s Death*</td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

*These information items are applicable to student financial aid applicants and recipients and their families, and are required for financial aid determinations.
### FIGURE A-1.—DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS—Continued

#### I. PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Student</th>
<th>Female Parent</th>
<th>Male Parent</th>
<th>Parents</th>
<th>Spouse</th>
</tr>
</thead>
<tbody>
<tr>
<td>10. Student Identification Number</td>
<td>15</td>
<td>Student’s Identification Number</td>
<td></td>
<td></td>
<td></td>
<td>Spouse’s Student Identification Number (if in the same institution)</td>
</tr>
<tr>
<td>11. Relationship to Student:</td>
<td>15</td>
<td></td>
<td>Female Parent’s Relationship to Student</td>
<td>Male Parent’s Relationship to Student</td>
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<tr>
<td>12. Highest Level of Education Completed</td>
<td>16</td>
<td>Student’s Highest Level of Education Completed</td>
<td>Female Parent’s Highest Level of Education Completed</td>
<td>Male Parent’s Highest Level of Education Completed</td>
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<td>13. Occupation Category</td>
<td>17</td>
<td>Student’s Occupation Category</td>
<td>Female Parent’s Occupation Category</td>
<td>Male Parent’s Occupation Category</td>
<td></td>
<td>Spouse’s Occupation Category</td>
</tr>
<tr>
<td>14. Professional Certification/Licensure(s)</td>
<td>17</td>
<td>Student’s Professional Certification/Licensure(s)</td>
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<td></td>
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<tr>
<td>15. Proficiency with English</td>
<td>17</td>
<td>Student’s Proficiency with English</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
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<td>16. Primary Language</td>
<td>18</td>
<td>Student’s Primary Language</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17. Other Language in which Proficient</td>
<td>18</td>
<td>Other Language in which Student is Proficient</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. Marital Status</td>
<td>18</td>
<td>Student’s Marital Status*</td>
<td>Female Parent’s Marital Status*</td>
<td>Male Parent’s Marital Status*</td>
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*These information items are applicable to student financial aid applicants or recipients and their families, and are required for financial aid determinations.
<table>
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<th>Data Element</th>
<th>Defined on Page</th>
<th>Student</th>
<th>Female Parent</th>
<th>Male Parent</th>
<th>Parents</th>
<th>Spouse</th>
</tr>
</thead>
<tbody>
<tr>
<td>19 Dependency Status</td>
<td>19</td>
<td>Student’s Dependency Status*</td>
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<td></td>
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<td>a Number of Dependents</td>
<td>19</td>
<td>Number of Student’s Dependents*</td>
<td></td>
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<td></td>
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<tr>
<td>b Number of Dependents in Postsecondary Education Institutions</td>
<td>20</td>
<td>Number of Student’s Dependents in Postsecondary Education Institutions*</td>
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<td></td>
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<td>20 Handicap Category</td>
<td>20</td>
<td>Student’s Handicap Category</td>
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<td>a Visually Handicapped</td>
<td>20</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b Hearing Handicapped</td>
<td>21</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c Deaf-Blind</td>
<td>21</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d Orthopedically Handicapped</td>
<td>21</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>e Other Health Handicapped</td>
<td>21</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>f Speech Handicapped</td>
<td>21</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>g Mentally Handicapped</td>
<td>22</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>h Multihandicapped</td>
<td>22</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21 Special Assistance Needs</td>
<td>22</td>
<td>Student’s Special Assistance Needs</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*These information items are applicable to student financial aid applicants or recipients and their families and are required for financial aid determinations.
FIGURE A-1—DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS

II. RESIDENCE

Items of information in this section may be used to identify the location of the residence of an individual, describe the type of housing in which a student lives, and provide information concerning the legal residence of the student.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Defined on Page</th>
<th>Student</th>
<th>Female Parent</th>
<th>Male Parent</th>
<th>Parents</th>
<th>Spouse</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Address</td>
<td>22</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Permanent Address</td>
<td>22</td>
<td>Student’s Permanent Address</td>
<td></td>
<td></td>
<td>Parent’s Permanent Address</td>
<td></td>
</tr>
<tr>
<td>b. Legal Address</td>
<td>23</td>
<td>Student’s Legal Address</td>
<td></td>
<td></td>
<td>Parents’ Legal Address</td>
<td></td>
</tr>
<tr>
<td>c. Local Address</td>
<td>23</td>
<td>Student’s Local Address</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Type of Housing</td>
<td>23</td>
<td>Student’s Type of Housing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Residency Status</td>
<td>23</td>
<td>Student’s Residency Status</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Distance Between Local Address and Postsecondary Institution</td>
<td>24</td>
<td>Distance Between Student’s Local Address and Postsecondary Institution</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1If the student is a minor, the student’s residency status is that of his parents.
FIGURE A-1.—DEMOGRAPHIC AND BIOGRAPHICAL INFORMATION

III: EDUCATIONAL/OCCUPATIONAL ASPIRATIONS

Information items in this section may be used to describe a student's educational and career intentions in terms of the degree/diploma/certificate being sought and/or the occupation for which the student seeks educational preparation.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Student</th>
<th>Female Parent</th>
<th>Male Parent</th>
<th>Parents</th>
<th>Spouse</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Objective in Attending Postsecondary Institution</td>
<td>1</td>
<td></td>
<td>Student's Objective in Attending Postsecondary Institution</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Highest Formal Award Sought</td>
<td>24</td>
<td></td>
<td>Highest Formal Award Sought by Student</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Career/Occupational Aspiration</td>
<td>25</td>
<td></td>
<td>Student's Career/Occupational Aspiration</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**FIGURE A1—DEMOGRAPHIC AND BIOGRAPHICAL INFORMATION**

IV. FINANCIAL INFORMATION

Information items in this section may be used to describe various aspects of the financial position of a student and his/her family, including parents and spouse.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Student</th>
<th>Female Parent</th>
<th>Male Parent</th>
<th>Parents</th>
<th>Spouse</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Total Personal Income</td>
<td></td>
<td>26</td>
<td>Student’s Total Personal Income</td>
<td>Female Parent’s Total Personal Income</td>
<td>Male Parent’s Total Personal Income</td>
<td>Spouse’s Total Personal Income</td>
<td></td>
</tr>
<tr>
<td>Earnings</td>
<td></td>
<td>26</td>
<td>Student’s Earnings</td>
<td>Female Parent’s Earnings</td>
<td>Male Parent’s Earnings</td>
<td>Spouse’s Earnings</td>
<td></td>
</tr>
<tr>
<td>c. Income from Other Sources</td>
<td></td>
<td>26</td>
<td>Student’s Income from Other Sources</td>
<td>Female Parent’s Income from Other Sources</td>
<td>Male Parent’s Income from Other Sources</td>
<td>Spouse’s Income from Other Sources</td>
<td></td>
</tr>
<tr>
<td>Family Income</td>
<td></td>
<td>27</td>
<td>Student’s Family Income</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Adjusted Gross Income</td>
<td></td>
<td>28</td>
<td>Student’s Adjusted Gross Income</td>
<td>Female Parent’s Adjusted Gross Income</td>
<td>Male Parent’s Adjusted Gross Income</td>
<td>Parents’ Adjusted Gross Income</td>
<td>Spouse’s Adjusted Gross Income</td>
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<tr>
<td>4. Assets</td>
<td></td>
<td>28</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Type of Asset</td>
<td></td>
<td>28</td>
<td>Student’s Type of Asset</td>
<td>Female Parent’s Type of Asset</td>
<td>Male Parent’s Type of Asset</td>
<td>Parents’ Type of Asset</td>
<td>Spouse’s Type of Asset</td>
</tr>
<tr>
<td>Data Element</td>
<td>Defined on Page</td>
<td>Student</td>
<td>Female Parent</td>
<td>Male Parent</td>
<td>Parents</td>
<td>Spouse</td>
<td></td>
</tr>
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<td>5. Liabilities</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Type of Debt</td>
<td>29</td>
<td>Type of Student’s Debt</td>
<td></td>
<td>Type of Parents’ Debt</td>
<td>Type of Spouse’s Debt</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Amount of Debt</td>
<td>29</td>
<td>Amount of Student’s Debt</td>
<td></td>
<td>Amount of Parents’ Debt</td>
<td>Amount of Spouse’s Debt</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Information stems in this section are applicable primarily to financial aid recipients and/or applicants. However, an institution may elect to collect this data also for other students in order to characterize the socio-economic background of its total student population.*
II. STUDENT'S EDUCATIONAL EXPERIENCE

This major information category consists of the following subcategories:

- Institutional Identification, p. 32
- Admissions, p. 33
- Financing Student's Postsecondary Education, p. 36
- Registration, p. 43
- Participation/Performance, p. 51
- Termination, p. 59

Information items in these respective subcategories may be used to identify the various educational institutions—secondary and postsecondary—in which a student has enrolled or is registered. Also included are items which describe the student's status and standing upon admission and while in attendance at a postsecondary institution; the sources from which funds are available and the financial assistance provided the student to meet postsecondary education expenses; educational program, courses, and performance in these courses; and the manner in which the student terminates enrollment at the postsecondary education institution (e.g., by completing work, by transferring, or by discontinuing work).
FIGURE A-2.—STUDENT'S EDUCATIONAL EXPERIENCE

I. INSTITUTIONAL IDENTIFICATION

Information items in this section may be used to identify the educational institutions in which the student received, is receiving, or subsequently receives instruction, including the postsecondary institution in which the student eventually is registered and any institution(s) previously attended (e.g., secondary or previous postsecondary institutions).

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Secondary School</th>
<th>Previous Postsecondary Institution</th>
<th>Current Postsecondary Institution</th>
<th>Subsequent Postsecondary Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Name of Institution</td>
<td>32</td>
<td>Name of SS</td>
<td>Name of PPI</td>
<td>Name of CPI</td>
<td>Name of SPI</td>
<td></td>
</tr>
<tr>
<td>2. Address of Institution</td>
<td>32</td>
<td>Address of SS</td>
<td>Address of PPI</td>
<td>Address of CPI</td>
<td>Address of SPI</td>
<td></td>
</tr>
<tr>
<td>3. FICE Code or NCES Number of Institution</td>
<td>33</td>
<td></td>
<td></td>
<td>FICE Code or NCES Number of CPI</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**FIGURE A-2. STUDENT’S EDUCATIONAL EXPERIENCE**

**II. ADMISSIONS**

Information items included in this section may be used to describe each admission of a student into a postsecondary education institution, including items about the student’s application for admission, the admission decision made on the student’s application, and the candidate’s decision with respect to an offer of admission.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Secondary School (SS)</th>
<th>Previous Postsecondary Institution (PPI)</th>
<th>Current Postsecondary Institution (CPI)</th>
<th>Subsequent Postsecondary Institution (SPI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Application for Admission</td>
<td>a. Date Application for Admission Received</td>
<td>33</td>
<td></td>
<td></td>
<td>Date Application for Admission Received by CPI</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b. Requested Date of Entry</td>
<td>33</td>
<td></td>
<td></td>
<td>Requested Date of Entry to CPI</td>
<td></td>
</tr>
<tr>
<td>2. Geographic Origin (At Time of Admission)</td>
<td>a. Admission Decision</td>
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<td>Admission Decision at CPI</td>
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</tr>
<tr>
<td></td>
<td>b. Date of Admission Decision Notification</td>
<td>35</td>
<td></td>
<td></td>
<td>Date of Admission Decision Notification at CPI</td>
<td></td>
</tr>
<tr>
<td></td>
<td>c. Approved Date of Admission</td>
<td>35</td>
<td></td>
<td></td>
<td>Approved Date of Admission to CPI</td>
<td></td>
</tr>
<tr>
<td>4. Candidate Decision</td>
<td>35</td>
<td></td>
<td></td>
<td></td>
<td>Candidate Decision for CPI</td>
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<tr>
<td>5. Candidate Reply Date</td>
<td>35</td>
<td></td>
<td></td>
<td></td>
<td>Candidate’s Reply Date to CPI</td>
<td></td>
</tr>
</tbody>
</table>
FIGURE A-2.—STUDENT'S EDUCATIONAL EXPERIENCE

III. FINANCING STUDENT'S POSTSECONDARY EDUCATION*

Information items included in this section may be used to describe a student's financial need and the financial assistance required and/or received by the student to meet the cost of postsecondary education.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Secondary School (SS)</th>
<th>Previous Postsecondary Institution (PPI)</th>
<th>Current Postsecondary Institution (CPI)</th>
<th>Subsequent Postsecondary Institution (SPI)</th>
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</thead>
<tbody>
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<td>1. Cost of Postsecondary Education (To Student)</td>
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<td></td>
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<td></td>
</tr>
<tr>
<td>a. Type of Postsecondary Education Expense</td>
<td></td>
<td>36</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Amount of Postsecondary Education Expense</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Expected Family Contribution</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>3. Financial Need</td>
<td></td>
<td>38</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Amount of Financial Need</td>
<td></td>
<td>38</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Financial Assistance (Need-based)</td>
<td></td>
<td>39</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Financial Aid</td>
<td></td>
<td>39</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(1) Name of Financial Aid Program</td>
<td></td>
<td>39</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(2) Name of Financial Aid Program at PPI</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(3) Name of Financial Aid Program at CPI</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*This section applies only to financial aid applicants and/or recipients.
### FIGURE A-2.—STUDENT'S EDUCATIONAL EXPERIENCE

#### III. FINANCING STUDENT'S POSTSECONDARY EDUCATION*—Continued

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Secondary School (SS)</th>
<th>Previous Postsecondary Institution (PPI)</th>
<th>Current Postsecondary Institution (CPI)</th>
<th>Subsequent Postsecondary Institution (SPI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(2) Type of Financial Aid</td>
<td></td>
<td>39</td>
<td>Type of Financial Aid at PPI</td>
<td>Type of Financial Aid at CPI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(3) Source of Financial Aid</td>
<td></td>
<td>40</td>
<td>Source of Financial Aid at PPI</td>
<td>Source of Financial Aid at CPI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(4) Selector of Recipient</td>
<td></td>
<td>40</td>
<td>Selector of Recipient at PPI</td>
<td>Selector of Recipient at CPI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(5) Control of Financial Aid, Award or Prize</td>
<td></td>
<td>40</td>
<td>Control of Financial Aid at PPI</td>
<td>Control of Financial Aid at CPI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(6) Amount of Financial Aid Authorized for Student</td>
<td></td>
<td>41</td>
<td>Amount of Financial Aid Authorized for Student at PPI</td>
<td>Amount of Financial Aid Authorized for Student at CPI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(7) Amount of Financial Aid Received by Student</td>
<td></td>
<td>41</td>
<td>Amount of Financial Aid Received by Student at PPI</td>
<td>Amount of Financial Aid Received by Student at CPI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Awards, Prizes and Other Assistance (Non-Need Based)</td>
<td></td>
<td>41</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(1) Name of Award, Prize or Other Assistance</td>
<td></td>
<td>41</td>
<td>Name of Award, Prize, or Other Assistance at PPI</td>
<td>Name of Award, Prize, or Other Assistance at CPI</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*This section applies only to financial aid applicants and/or recipients.
<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Secondary School (SS)</th>
<th>Previous Postsecondary Institution (PPI)</th>
<th>Current Postsecondary Institution (CPI)</th>
<th>Subsequent Postsecondary Institution (SPI)</th>
</tr>
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<tbody>
<tr>
<td>(2) Type of Award, Prize or Other Assistance</td>
<td>42</td>
<td>Type of Award, Prize or Other Assistance at PPI</td>
<td>Source of Award, Prize or Other Assistance at PPI</td>
<td>Control of Award, Prize or Other Assistance at PPI</td>
<td>Amount Authorized for Award, Prize or Other Assistance at PPI to Student at PPI</td>
</tr>
<tr>
<td>(3) Source of Award, Prize or Other Assistance</td>
<td>42</td>
<td>Source of Award, Prize or Other Assistance at PPI</td>
<td>Source of Award, Prize or Other Assistance at CPI</td>
<td>Control of Award, Prize or Other Assistance at CPI</td>
<td>Control of Award, Prize or Other Assistance at CPI</td>
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<tr>
<td>(4) Control of Award, Prize or Other Assistance</td>
<td>42</td>
<td>Control of Award, Prize or Other Assistance at PPI</td>
<td>Control of Award, Prize or Other Assistance at CPI</td>
<td>Control of Award, Prize or Other Assistance at CPI</td>
<td>Control of Award, Prize or Other Assistance at CPI</td>
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<td>(5) Amount Authorized for Award, Prize or Other Assistance to Student</td>
<td>43</td>
<td>Amount Authorized for Award, Prize or Other Assistance to Student at PPI</td>
<td>Amount Authorized for Award, Prize or Other Assistance to Student at CPI</td>
<td>Amount Authorized for Award, Prize or Other Assistance to Student at CPI</td>
<td>Amount Authorized for Award, Prize or Other Assistance to Student at CPI</td>
</tr>
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<td>(6) Amount of Award, Prize or Other Assistance Received by Student</td>
<td>43</td>
<td>Amount of Award, Prize or Other Assistance Received by Student at PPI</td>
<td>Amount of Award, Prize or Other Assistance Received by Student at CPI</td>
<td>Amount of Award, Prize or Other Assistance Received by Student at CPI</td>
<td>Amount of Award, Prize or Other Assistance Received by Student at CPI</td>
</tr>
</tbody>
</table>

*This section applies only to financial aid applicants and/or recipients.*
FIGURE A.2.—STUDENT'S EDUCATIONAL EXPERIENCE

IV. REGISTRATION

Items of information in this section may be used to describe a student’s status at the postsecondary education institution in which he/she currently is receiving instruction, including the student’s status upon entry to the institution and any subsequent registrations. Also included are descriptors for the student’s major field of study.

<table>
<thead>
<tr>
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<th>Secondary School</th>
<th>Previous Postsecondary Institution</th>
<th>Current Postsecondary Institution</th>
<th>Subsequent Postsecondary Institution</th>
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<td>43</td>
<td></td>
<td></td>
<td>Day/Evening Schedule at CPI</td>
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<td>b. Formal Award Status</td>
<td>44</td>
<td></td>
<td></td>
<td>Formal Award Status at CPI</td>
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<td>c. Student Load</td>
<td>44</td>
<td></td>
<td></td>
<td>Student Load at CPI</td>
<td></td>
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<tr>
<td>d. Program Completion Level</td>
<td>44</td>
<td></td>
<td></td>
<td>Program Completion Level at CPI</td>
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<tr>
<td>e. Student Level</td>
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<td>Student Level at CPI</td>
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<td>f. Student Standing</td>
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<td>Student Standing at CPI</td>
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<td>g. Transition Status</td>
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<td>Transition Status at CPI</td>
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<td>h. Beginning Date of Attendance</td>
<td>47</td>
<td></td>
<td></td>
<td>Beginning Date of Attendance at CPI</td>
<td></td>
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<tr>
<td>i. Date of Registration</td>
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<td></td>
<td></td>
<td>Date of Registration at CPI</td>
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</tr>
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<td>3. Enrollment Status</td>
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<td>Enrollment Status at CPI</td>
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<td>Current Postsecondary Institution (CP1)</td>
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<td>----------------</td>
<td>-----------------------</td>
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<td>----------------------------------------</td>
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<td>3. Department/Division/School</td>
<td>a. Name of Department/Division/School</td>
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<td></td>
<td></td>
<td>Name of Department/Division/School at CP1</td>
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<td>4. Program of Studies</td>
<td>a. Type of Program</td>
<td>48</td>
<td></td>
<td></td>
<td>Type of Program at CP1</td>
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<td></td>
<td>b. Major Field of Study</td>
<td>49</td>
<td>Major Field of Study - Standard Name at PPI</td>
<td>Major Field of Study - Institutional Name at PPI</td>
<td>Major Field of Study - Standard Name at CPI</td>
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<tr>
<td></td>
<td>(1) Major Field of Study - Standard Name</td>
<td>50</td>
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<tr>
<td></td>
<td>(2) Major Field of Study - Institutional Name</td>
<td>50</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>c. Minor Field of Study</td>
<td>50</td>
<td>Minor Field of Study - Standard Name at PPI</td>
<td>Minor Field of Study - Institutional Name at PPI</td>
<td>Minor Field of Study - Standard Name at CPI</td>
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<tr>
<td></td>
<td>(1) Minor Field of Study - Standard Name</td>
<td>50</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(2) Minor Field of Study - Institutional Name</td>
<td>51</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Length of Program</td>
<td>51</td>
<td></td>
<td></td>
<td></td>
<td>Length of Program at CPI</td>
</tr>
<tr>
<td>e. Date of Expected Program Completion</td>
<td>51</td>
<td></td>
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<td></td>
<td>Date of Expected Program Completion at CPI</td>
</tr>
</tbody>
</table>
### FIGURE A-2.—STUDENT'S EDUCATIONAL EXPERIENCE

#### V. PARTICIPATION/PERFORMANCE

Items of information in this section may be used to describe aspects of a student's academic activities and honors, including course information and course performance.

<table>
<thead>
<tr>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Secondary School</th>
<th>Previous Postsecondary Institution</th>
<th>Current Postsecondary Institution</th>
<th>Subsequent Postsecondary Institution</th>
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<tbody>
<tr>
<td><strong>Data Element</strong></td>
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<td>(PPI)</td>
<td>(CPI)</td>
<td>(SPI)</td>
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<td>1. Standardized Test</td>
<td>51</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>a. Name(s) of Admission</td>
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<td></td>
<td>Name of Admission Test for PPI</td>
<td>Name of Admission Test for CPI</td>
<td></td>
</tr>
<tr>
<td>Test(s)</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Name(s) of Placement</td>
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<td></td>
<td>Name of Placement Test at PPI</td>
<td>Name of Placement Test at CPI</td>
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<tr>
<td>Test(s)</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Name(s) of Other</td>
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<td></td>
<td>Name of Other Standardized Test at PPI</td>
<td>Name of Other Standardized Test at CPI</td>
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<tr>
<td>Standardized Test(s)</td>
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<td></td>
<td>Test at PPI</td>
<td>Test at CPI</td>
<td></td>
</tr>
<tr>
<td>d. Test Results</td>
<td>52</td>
<td></td>
<td>Test Results at PPI</td>
<td>Test Results at CPI</td>
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<tr>
<td>e. Date Test Was Administered</td>
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<td></td>
<td>Date Test Was Administered at PPI</td>
<td>Date Test was Administered at CPI</td>
<td></td>
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<td>2. Course</td>
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<td>Course Title at SS</td>
<td>Course Title at CPI</td>
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</tr>
<tr>
<td>a. Course Title</td>
<td>53</td>
<td></td>
<td>Subject-matter Area of Course</td>
<td>Subject-matter Area of Course at CPI</td>
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</tr>
<tr>
<td>b. Subject-matter Area of</td>
<td>53</td>
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<td>Course at SS</td>
<td>Course at CPI</td>
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<tr>
<td>Course</td>
<td></td>
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<tr>
<td>c. Course Code</td>
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<td>Course Code at PPI</td>
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<tr>
<td>d. Length of Course</td>
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<td></td>
<td>Length of Course at PPI</td>
<td>Length of Course at CPI</td>
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<td>Qualifier</td>
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<td>Subsequent Postsecondary Institution (SPI)</td>
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<td>-----------------------</td>
<td>------------------------------------------</td>
<td>----------------------------------------</td>
<td>--------------------------------------------</td>
</tr>
<tr>
<td>e. <strong>Beginning Date of Course</strong></td>
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<td></td>
<td>Beginning Date of Course at PPI</td>
<td>Beginning Date of Course at CPI</td>
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<tr>
<td>f. <strong>Ending Date of Course</strong></td>
<td>54</td>
<td></td>
<td>Ending Date of Course at PPI</td>
<td>Ending Date of Course at CPI</td>
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<tr>
<td>g. <strong>Award Units for Course</strong></td>
<td>54</td>
<td>Award Units for Course at SS</td>
<td>Award Units for Course at PPI</td>
<td>Award Units for Course at CPI</td>
<td>Award Units for Course at CPI</td>
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<tr>
<td>3. <strong>Grade (Mark)</strong></td>
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<td></td>
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</tr>
<tr>
<td>a. <strong>Grade (Mark) Received for Course</strong></td>
<td>54</td>
<td>Grade (Mark) Received for Course at SS</td>
<td>Grade (Mark) Received for Course at PPI</td>
<td>Grade (Mark) Received for Course at CPI</td>
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<td>b. <strong>Grade-point Average</strong></td>
<td>54</td>
<td>Grade-point Average at SS</td>
<td>Grade-point Average at PPI</td>
<td>Grade-point Average at CPI</td>
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<tr>
<td>c. <strong>Rank in Class</strong></td>
<td>55</td>
<td>Rank in Class at SS</td>
<td>Rank in Class at PPI</td>
<td>Rank in Class at CPI</td>
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</tr>
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<td>4. <strong>Award Units</strong></td>
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<td></td>
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<tr>
<td>a. <strong>Award Units Received for Course</strong></td>
<td>55</td>
<td>Award Units Received for Course at SS</td>
<td>Award Units Received for Course at PPI</td>
<td>Award Units Received for Course at CPI</td>
<td>Award Units Received for Course at CPI</td>
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<tr>
<td>b. <strong>Award Units Accepted</strong></td>
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<td></td>
<td>Award Units Accepted at CPI</td>
<td>Total Award Units Accepted at CPI</td>
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<tr>
<td>c. <strong>Total Award Units Accumulated</strong></td>
<td>56</td>
<td>Total Award Units Accumulated</td>
<td>Total Award Units Accumulated at CPI</td>
<td>Total Award Units Accumulated Toward Formal Award</td>
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</tr>
<tr>
<td>d. <strong>Total Award Units Accumulated Toward Formal Award</strong></td>
<td>56</td>
<td>Total Award Units Accumulated Toward Formal Award</td>
<td>Total Award Units Accumulated Toward Formal Award</td>
<td>Total Award Units Accumulated Toward Formal Award</td>
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</table>
**FIGURE A-2.—STUDENT'S EDUCATIONAL EXPERIENCE**

V. PARTICIPATION/PERFORMANCE—Continued

<table>
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<th>Qualifier</th>
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<td>Total Award Units Required for Completion of Program at CPI</td>
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<td>5. Formal Award</td>
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<td>Formal Award Sought at SPI</td>
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<td>Formal Award Earned from SPI</td>
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<tr>
<td>b. Formal Award Earned</td>
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<td>Formal Award Earned from CPI</td>
<td>Formal Award Earned from SPI</td>
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</tr>
<tr>
<td>c. Formal Award Date</td>
<td>59</td>
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<td>Formal Award Date at CPI</td>
<td>Formal Award Date at SPI</td>
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<td>6. Academic Honors</td>
<td>59</td>
<td>Academic Honors at SS</td>
<td>Academic Honors at PPI</td>
<td>Academic Honors at CPI</td>
<td>Academic Honors at SPI</td>
</tr>
</tbody>
</table>
FIGURE A-2—STUDENT'S EDUCATIONAL EXPERIENCE

VI. TERMINATION

Items of information in this section may be used to provide data about the manner in which a student terminates participation in the instructional activities of the postsecondary education institution, e.g., by completing work or transferring or because of death.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
<th>Defined on Page</th>
<th>Secondary School (SS)</th>
<th>Previous Postsecondary Institution (PPI)</th>
<th>Current Postsecondary Institution (CPI)</th>
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<td>1. Type of Termination</td>
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<td>59</td>
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<td>Type of Termination from CPI</td>
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<td>2. Student Standing at Time of Termination</td>
<td></td>
<td>60</td>
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<td></td>
<td>Student Standing at Time of Termination from CPI</td>
<td></td>
</tr>
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<td>3. Reason for Transfer/Withdrawal</td>
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<td>60</td>
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<td></td>
<td>Reason for Transfer/Withdrawal from CPI</td>
<td></td>
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<td>4. Date of Last Attendance</td>
<td></td>
<td>61</td>
<td></td>
<td></td>
<td>Date of Last Attendance at CPI</td>
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<tr>
<td>5. Termination Date</td>
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<td>61</td>
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<td></td>
<td>Termination Date at CPI</td>
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</table>
III. STUDENT'S EMPLOYMENT EXPERIENCE

This major information category is composed of two subdivisions:

- Civilian Employment Experience, p. 63
- U.S. Military Service Experience, p. 66.

Information items in these subcategories may be used to describe aspects of the employment and military service experiences of the student.
FIGURE A-3.—STUDENT'S EMPLOYMENT EXPERIENCE

I. CIVILIAN EMPLOYMENT EXPERIENCE

Information items in this section may be used to describe the employment experience of a student or former student, including name and address of employer, type of job, salary and wages, and hours worked. This includes part-time and summer employment, as well as employment experience of the individual after completion of education and training at a postsecondary institution.

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Qualifier</th>
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<th>Previous</th>
<th>Current</th>
<th>Subsequent</th>
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<td>1. Civilian Employment</td>
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<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>a. Name of Employer</td>
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<td>Name of Previous Employer</td>
<td>Name of Current Employer</td>
<td>Name of Subsequent Employer</td>
<td></td>
</tr>
<tr>
<td>b. Address of Employer</td>
<td>63</td>
<td>Address of Previous Employer</td>
<td>Address of Current Employer</td>
<td>Address of Subsequent Employer</td>
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</tr>
<tr>
<td>c. Standard Industrial Classification of Employer</td>
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<td>Standard Industrial Classification of Previous Employer</td>
<td>Standard Industrial Classification of Current Employer</td>
<td>Standard Industrial Classification of Subsequent Employer</td>
<td></td>
</tr>
<tr>
<td>d. Work Performed</td>
<td>64</td>
<td>Previous Work Performed</td>
<td>Current Work Performed</td>
<td>Subsequent Work Performed</td>
<td></td>
</tr>
<tr>
<td>e. Employment Status</td>
<td>64</td>
<td>Previous Employment Status</td>
<td>Current Employment Status</td>
<td>Subsequent Employment Status</td>
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</tr>
<tr>
<td>f. Dates of Employment</td>
<td>65</td>
<td>Dates of Previous Employment</td>
<td>Dates of Current Employment</td>
<td>Dates of Subsequent Employment</td>
<td></td>
</tr>
<tr>
<td>g. Relationship of Job to Major Field of Study</td>
<td>65</td>
<td>Relationship of Previous Job to Major Field of Study</td>
<td>Relationship of Current Job to Major Field of Study</td>
<td>Relationship of Subsequent Job to Major Field of Study</td>
<td></td>
</tr>
<tr>
<td>h. Hours Worked Weekly</td>
<td>65</td>
<td>Hours Currently Worked Weekly</td>
<td>Current Earnings Rate</td>
<td>Subsequent Earnings Rate*</td>
<td></td>
</tr>
</tbody>
</table>

1For persons completing or leaving programs of occupational preparation.

*Subsequent Earnings Rate: For persons completing or leaving programs of occupational preparation.
**FIGURE A.3.—STUDENT'S EMPLOYMENT EXPERIENCE**

II. U.S. MILITARY SERVICE EXPERIENCE

Information items in this section may be used to describe the U.S. Military service experience of a student.

<table>
<thead>
<tr>
<th>Data, Qualifier</th>
<th>Defined on Page</th>
<th>Previous</th>
<th>Current</th>
<th>Subsequent</th>
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<tbody>
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<td>Data, Element</td>
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<td>1. Military Service</td>
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<td>a. Branch of Military Service</td>
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<td>Branch of Previous Military Service</td>
<td>Branch of Current Military Service</td>
<td>Branch of Subsequent Military Service</td>
</tr>
<tr>
<td>b. Military Status</td>
<td>67</td>
<td>Previous Military Status</td>
<td>Current Military Status</td>
<td>Subsequent Military Service</td>
</tr>
<tr>
<td>c. Military Identification Number</td>
<td>67</td>
<td>Previous Military Identification Number</td>
<td>Current Military Identification Number</td>
<td>Subsequent Military Identification Number</td>
</tr>
<tr>
<td>d. Student's Primary Military Specialty Number and Title</td>
<td>67</td>
<td>Student's Previous Primary Military Specialty Number and Title</td>
<td>Student's Current Primary Military Specialty Number and Title</td>
<td>Student's Subsequent Primary Military Specialty Number and Title</td>
</tr>
<tr>
<td>e. Student's Additional Military Specialty Number and Title</td>
<td>68</td>
<td>Student's Previous Additional Military Specialty Number and Title</td>
<td>Student's Current Additional Military Specialty Number and Title</td>
<td>Student's Subsequent Additional Military Specialty Number and Title</td>
</tr>
<tr>
<td>f. Date Entered Active Duty</td>
<td>68</td>
<td>Date Entered Previous Active Duty</td>
<td>Date Entered Current Active Duty</td>
<td>Date Entered Subsequent Active Duty</td>
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<tr>
<td>g. Date Released from Active Duty</td>
<td>68</td>
<td>Date Released from Previous Duty</td>
<td></td>
<td>Date Released from Subsequent Active Duty</td>
</tr>
<tr>
<td>h. Rank at Separation</td>
<td>69</td>
<td>Rank at Previous Separation</td>
<td>Current Veteran's Status</td>
<td>Rank at Subsequent Separation</td>
</tr>
<tr>
<td>i. Veteran's Status</td>
<td>69</td>
<td></td>
<td>Current Participation in Veterans' Educational Benefits</td>
<td></td>
</tr>
<tr>
<td>j. Participation in Veterans' Educational Benefits</td>
<td>69</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix B

NOTES ON THE USES OF SPECIFIC DATA ELEMENTS

This appendix contains discussion and clarification of several data elements and qualifiers defined in chapter 2, as follows:

- Institutional and Time Frame Qualifiers . . . page 9
- Racial/Ethnic Group . . . . page 13
- Highest Level of Education Completed . . . page 16
- Handicap . . . . page 20
- Geographic Origin . . . . page 34
- Student Load, Length of Program, and Total Award Units Required for Completion of Program . . . page 44, 51, 56
- Enrollment Status . . . . page 47
- Award Unit . . . . page 55

**TIME-FRAME QUALIFIERS**

The time-frame qualifiers *Previous, Current,* and *Subsequent* are referenced to the period of the student's educational activities at the collecting institution. *Current* is used to qualify data elements which describe activities concurrent with attendance at the collecting institution. *Previous* and *Subsequent* are used for identifying activities as occurring at a prior or later time.

**RACIAL/ETHNIC GROUP**

Terms and definitions of five basic categories for collecting, maintaining, and reporting racial and ethnic data were developed by an ad hoc committee of the Federal Interagency Committee on Education (FICE).

---

1Institutional Qualifiers are defined in chapter 2, p. 9.
2Time-Frame Qualifiers are defined in chapter 2, page 9.
3Definitions for racial/ethnic groups are found in chapter 2, page 13, and in Directive No. 15, published by the Office of Federal Statistical Policy and Standards, U.S. Department of Commerce, on May 4, 1978. The discussion which follows is based on the FICE Report, May 1975, volume 2, number 1.
FIGURE B-1—INSTITUTIONAL REFERENCE POINTS FOR RECORDS OF A SAMPLE STUDENT

Guidelines for the use of institutional qualifiers and three illustrative records of a student who attended three postsecondary education institutions.

1. Institution Collecting Data: Greenville College

<table>
<thead>
<tr>
<th>Attendance Dates</th>
<th>Institution Attended</th>
<th>Date of Collection</th>
<th>Correct Qualifier</th>
</tr>
</thead>
<tbody>
<tr>
<td>1972-1974</td>
<td>Greenville College</td>
<td>1980</td>
<td>Greenville College</td>
</tr>
</tbody>
</table>

2. Institution Collecting Data: Illinois State University

<table>
<thead>
<tr>
<th>Attendance Dates</th>
<th>Institution Attended</th>
<th>Date of Collection</th>
<th>Correct Qualifier</th>
</tr>
</thead>
<tbody>
<tr>
<td>1972-1974</td>
<td>Greenville College</td>
<td>1980</td>
<td>Greenville College</td>
</tr>
<tr>
<td>1974-1975</td>
<td>Illinois State University</td>
<td>1980</td>
<td>Illinois State University</td>
</tr>
</tbody>
</table>

3. Institution Collecting Data: University of Pennsylvania

<table>
<thead>
<tr>
<th>Attendance Dates</th>
<th>Institution Attended</th>
<th>Date of Collection</th>
<th>Correct Qualifier</th>
</tr>
</thead>
<tbody>
<tr>
<td>1972-1974</td>
<td>Greenville College</td>
<td>1980</td>
<td>Greenville College</td>
</tr>
<tr>
<td>1974-1975</td>
<td>Illinois State University</td>
<td>1980</td>
<td>Illinois State University</td>
</tr>
</tbody>
</table>
NOTES ON USES OF SPECIFIC DATA ELEMENTS

The Committee's assigned task was to develop common racial and ethnic definitions for use by all Federal agencies to assure collection and reporting of racial and ethnic educational data on a compatible and non-duplicative basis.

The following five basic categories subsequently were adopted by the Office of Federal Statistical Policy and Standards:

1. American Indian or Alaskan Native
2. Asian or Pacific Islander
3. Black
4. Hispanic
5. White

These five categories are to be used throughout the Federal Government as a standard whenever a Federal agency collects or reports data about race and/or ethnicity.

The report of the FICE ad hoc committee points out that there are two ways to obtain racial and ethnic information: observer-identification and self-identification. The Committee noted that, when possible, it is preferable to have an individual identify his own racial and ethnic background. When this is not feasible, as in some civil rights compliance surveys, an observer's assessment of the individual's racial and ethnic heritage is acceptable. Two illustrations of how the five basic categories can be applied in data collection formats are shown in Figure B-2.

The five mutually-exclusive categories of alternative A are particularly suitable for observer identification. The two-question approach of alternative B, most appropriate for self-identification, provides greater flexibility for interchange of data because figures can be tabulated in a number of different ways without double counting. [NOTE: For collecting data on persons of mixed racial and/or ethnic origins, the category should be used which most closely reflects the individual's perceptions (in self-identification) or the community's general recognition (in observer identification).]

When information about race and ethnicity are collected separately, the number of white and black persons who are Hispanic must be identifiable, and capable of being reported in that category.

If data are collected using the two-question approach of alternative B, nonduplicated data may be obtained for all cells in the matrix given in Figure B-3. By combining cells, data may be made available for the categories of alternative A. The data in the columns marked with an asterisk may be reported to the Office for Civil Rights.

The ad hoc committee recognized that needs may arise to subdivide the five basic categories. While not attempting to identify all possible ethnic groups within any category, the committee offered the following illustrations:

- The "American Indian or Alaskan Native" category could have an additional question asking for tribal affiliation and/or Alaskan Native group (e.g., Aleuts, Eskimos).
- The "Asian or Pacific Islander" category may be broken into subcategories such as Chinese, Japanese, Korean, Filipino, Vietnamese, and Samoan.
- The "White" category may be subdivided into such subgroups such as Portuguese, French-Canadian, and Italian.
- If the identified subgroups do not cover all possible subgroups in the major category, the final subgroup should be "Other (name of category)" or "Other (specify)"

Data within major categories may be combined as needed, but data from one major category may never be combined with data from any other major category without loss of comparability.

The display of racial/ethnic data by Federal agencies will be affected by the following provisions set forth by the Office of Federal Statistical Policy and Standards:

Displays of racial and ethnic compliance and statistical data will use the category designations listed above. The designation "nonwhite" is not acceptable for use in the presentation of Federal Government data. It is not to be used in any publication of compliance or statistical data or in the text of any compliance or statistical report.

In cases where the above designations are considered inappropriate for presentation of statistical data on particular programs or for particular regional areas, the sponsoring agency may use:

1. The designations "Black and Other Races" or "All Other Races," as collective descriptions of minority races when the most summary distinction between the majority and minority races is appropriate;

(2) The designations "White," "Black," and "All Other Races" when the distinction among the majority race, the principal minority race, and other races is appropriate; or

(3) The designation of a particular minority race or races, and the inclusion of "Whites" with "All Other Races," if such a collective description is appropriate.

In displaying detailed information which represents a combination of race and ethnicity, the description of the data being displayed must clearly indicate that both bases of classification are being used.

When the primary focus of a statistical report is on two or more specific identifiable groups in the population, one or more of which is racial or ethnic, it is acceptable to display data for each of the particu-

FIGURE B-2—ALTERNATIVE METHODS OF COLLECTING DATA

A. One question, mutually exclusive categories

Racial/Ethnic Information

— Hispanic
— American Indian or Alaskan Native
— Asian or Pacific Islander
— Black, not of Hispanic origin
— White, not of Hispanic origin

B. Two questions, one racial, one ethnic

1. What is your racial background?
   — American Indian or Alaskan Native
   — Asian or Pacific Islander
   — Black
   — White

2. Is your ethnic heritage Hispanic?
   — Yes
   — No

FIGURE B-3—MATRIX FOR PRESENTATION OF SUMMARY DATA

<table>
<thead>
<tr>
<th>RACIAL GROUP</th>
<th>HISPANIC</th>
<th>NOT HISPANIC</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Indian or Alaskan Native</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asian or Pacific Islander</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Black</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>White</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
lar groups separately and to describe data relating to the remainder of the population by an appropriate collective description.

The categories of racial/ethnic groups should not be interpreted as scientific or anthropological in nature. Neither are they intended to be viewed as determinants of eligibility for participation in any Federal program. They were developed in response to needs expressed by both the Executive Branch and the Congress to provide a minimum number of categories for the collection and use of compatible, nonduplicated, exchangeable racial and ethnic data by Federal agencies.

**Highest Level of Education Completed**

For analysis and reporting purposes, categories for this term—denoted by the codes .01 to .26—can be further subcategorized to identify educational activity in which a student may participate following the achievement of a specific education level.

The identification of subcategories for a level can be accomplished by expanding the basic category code representing a specific level by an additional character to a three-place code. For example, the numeric characters 1 to 4 added to the right-most position of the basic two-character category code (e.g., .21 expanded to .211, .212, .213, and .214) may be used to denote educational activity unrelated to the attainment of a similar or next higher educational level. Similarly, the addition of the numeric characters 5 to 9 to the right-most position of the basic two-character category code may be used to indicate participation in educational activity which leads to the attainment of a similar or next higher educational level.

Applying this system, codes .221 to .224 would categorize those students who have earned a bachelor's degree (.22), and may have participated in additional educational activities such as adult education or vocational courses which do not lead to a similar degree or higher level. Codes .225 to .229 would identify those individuals who have received a bachelor's degree and have done some work toward attaining an additional formal award (i.e., master's degree, first-professional degree).

Specific subcategory definitions depend on the purposes and uses of such data and must be established by the data collection sponsor. In all cases, however, the first two characters of such three-position subcategory codes correspond to the codes used for the multiple-choice responses for Highest Level of Education Completed listed on page 16.

**HANDICAP CATEGORY**

Federal legislation which impacts on terms describing handicapped students involves two principal acts. One of these is the Education for All Handicapped Children Act (P.L. 94-142). The descriptions of many reporting categories for handicapped persons contained in this manual are adapted from the regulations applicable to this act. Also having relevancy for postsecondary institutions is Section 504 (Nondiscrimination on the Basis of Handicap) of the Rehabilitation Act of 1973 (P.L. 93-112; 45 C.F.R. Part 84). More detailed information on these two acts and their implementation is included in appendix K. Postsecondary education institutions responding to Federal requirements for these acts should consult the most current regulations.

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5Highest Level of Education Completed is defined in chapter 2, p. 16.

6Terms describing handicaps are defined on pages 20-22 of chapter 2.
Definitions in the Education for All Handicapped Children Act

The following definitions pertaining to handicapped children and their conditions are included in the Rules and Regulations for Part B of the Education for All Handicapped Children Act (P.L. 94-142)

§ 121a.5 Handicapped children

(a) As used in this part, the term "handicapped children" means those children evaluated in accordance with §§ 121a.530–121a.534 as being mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, other health impaired, deaf-blind, multi-handicapped, or as having specific learning disabilities, who because of those impairments need special education and related services.

(b) The terms used in this definition are defined as follows:

1. "Deaf" means a hearing impairment which is so severe that the child is impaired in processing linguistic information through hearing, with or without amplification, which adversely affects educational performance.

2. "Deaf-blind" means concomitant hearing and visual impairments, the combination of which causes such severe communication and other developmental and educational problems that they cannot be accommodated in special education programs solely for deaf or blind children.

3. "Hard of hearing" means a hearing impairment, whether permanent or fluctuating, which adversely affects a child's educational performance but which is not included under the definition of "deaf" in this section.

4. "Mentally retarded" means significantly subaverage general intellectual functioning existing concurrently with deficits in adaptive behavior and manifested during the developmental period, which adversely affects a child's educational performance.

5. "Multihandicapped" means concomitant impairments (such as mentally retarded-blind, mentally retarded-orthopedically impaired, etc.), the combination of which causes such severe educational problems that they cannot be accommodated in special education programs for one of the impairments.

The term does not include deaf-blind children.

6. "Orthopedically impaired" means a severe orthopedic impairment which adversely affects a child's educational performance. The term includes impairments caused by congenital anomaly (e.g., clubfoot, absence of some member, etc.), impairments caused by disease (e.g., poliomyelitis, bone tuberculosis, etc.), and impairments from other causes (e.g., cerebral palsy, amputations, and fractures which cause contractures).

7. "Other health impaired" means limited strength, vitality, or alertness, due to chronic or acute health problems such as a heart condition, tuberculosis, rheumatic fever, nephritis, asthma, sickle cell anemia, hemophilia, epilepsy, lead poisoning, leukemia, or diabetes, which adversely affects a child's educational performance.

8. "Seriously emotionally disturbed" is defined as follows:

(i) The term means a condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree, which adversely affects educational performance:

(A) An inability to learn which cannot be explained by intellectual, sensory, or health factors;

(B) An inability to build or maintain satisfactory interpersonal relationships with peers and teachers;

(C) Inappropriate types of behavior or feelings under normal circumstances;

(D) A general pervasive mood of unhappiness or depression;

(E) A tendency to develop physical symptoms or fears associated with personal or school problems.

(ii) The term includes children who are schizophrenic or autistic. The term does not include children who are socially maladjusted, unless it is determined that they are seriously emotionally disturbed.

9. "Specific learning disability" means a disorder in one or more of the basic psychological processes involved in understanding or in using language, spoken or written, which may manifest itself in an imperfect ability to listen, think, speak, read, write, spell, or to do mathematical calculations. The term includes such conditions as perceptual handicaps, brain injury, minimal brain dysfunction, dyslexia, and developmental aphasia. The term does not include children who have learning problems which are primarily the result of visual, hearing, or motor handicaps, of mental retardation, of emotional or behavioral disorder, or of environmental, cultural, or economic disadvantage.

10. "Speech impaired" means a communication disorder, such as stuttering, impaired articulation, a language impairment, or a voice impairment, which adversely affects a child's educational performance.

11. "Visually handicapped" means a visual impairment which, even with correction, adversely affects a child's educational performance. The term includes both partial seeing and blind children.

Definitions in the Rehabilitation Act of 1973

The following definitions pertaining to handicapped persons are included in the Federal Code (45 C F R Part 84) to respond to Section 504 (Nondiscrimination on the Basis of Handicap) of the Rehabilitation Act of 1973 (P L 93-112), as amended:

(i) "Handicapped person." (1) "Handicapped persons" means any person who (i) has a physical or mental impairment which substantially limits one or more major life activities, (ii) has a record of such an impairment, or (iii) is regarded as having such an impairment.

(2) As used in paragraph (i)(1) of this section, the phrase:

(i) "Physical or mental impairment" means (A) any physiological disorder or condition, cosmetic disfigurement, or anatomical loss affecting one or more of the following body systems: neurological; musculoskeletal; special senses; respiratory, including speech organs; cardiovascular, reproductive, digestive; genito-urinary; hemic and lymphatic; skin; and endocrine; or (B) any mental or psychological disorder, such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities.

(ii) "Major life activities" means functions such as caring for one's self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and working.

(iii) "Has a record of such an impairment" means has a history of, or has been classified as having, a mental or physical impairment that substantially limits one or more major life activities.

(iv) "Is regarded as having an impairment" means (A) has a physical or mental impairment that does not substantially limit major life activities but that is treated by a recipient as constituting such a limitation; (B) has a physical or mental impairment that substantially limits major life activities only as a result of the attitudes of others toward such impairment; or (C) has none of the impairments defined in paragraph (i)(2)(B) of this section but is treated by a recipient as having such an impairment.
NOTES ON USES OF SPECIFIC DATA ELEMENTS

GEORGIFIC ORIGIN
(AT TIME OF ADMISSION)

The use of the term GEOGRAPHIC ORIGIN should not be confused with that of RESIDENCY STATUS. The former term refers to the classification of a student on the basis of his or her legal residence at the time of application for admission to the institution, whether for undergraduate status, for a first-professional program, or for graduate status. The latter term is used to categorize a student with respect to his or her current legal residence, usually for the purpose of determining the tuition and fees for which he or she is responsible.

A student may be categorized similarly under both terms for the time he or she is in attendance at the institution (e.g., In-State, Other State), or may be categorized differently for purposes of geographic origin (e.g., Other State) and for residency status purposes (e.g., In-State). The major difference in the use of these terms is that the place where the student resided at the time of admission (GEOGRAPHIC ORIGIN) never changes while the student is in attendance at the same institution as an undergraduate, first-professional, or graduate student (though it may change when a student moves from one to another of these level categories at the same institution), however, a student's current residency status, for tuition and fee purposes at the same institution, can change.

STUDENT LOAD, LENGTH OF PROGRAM, AND TOTAL AWARD UNITS REQUIRED FOR COMPLETION OF PROGRAM

A number of commonly used terms are derived from the terms LENGTH OF PROGRAM (page 51), STUDENT LOAD (page 44), and TOTAL AWARD UNITS REQUIRED FOR COMPLETION OF PROGRAM (page 56). These derived terms relate to the amount of time a student spends in a program. These terms are:

- Normal Load,
- Participation Status,
- Full- and Part-Time Student, and
- Normal-Time Student and Less-Than-Normal-Time Student

Two additional aggregate terms are derived from the terms listed above:

- Full-Time Equivalent Count
- Equivalent Student Count

The definitions for the derived terms are as follows

- NORMAL LOAD: A measure of the number of award units for which a fully-engaged student registers per unit of time. (Time may be measured in semesters, quarters, etc.) Thus, normal load is computed as follows:

\[
\text{NORMAL LOAD} = \frac{\text{TOTAL AWARD UNITS REQUIRED FOR COMPLETION OF PROGRAM}}{\text{LENGTH OF PROGRAM FOR FULLY ENGAGED STUDENT}}
\]

- PARTICIPATION STATUS: A measure of the amount of time during which a student engages in activities related to the program. Participation status is computed as follows:

\[
\text{PARTICIPATION STATUS} = \frac{\text{STUDENT LOAD}}{\text{NORMAL LOAD (see above)}}
\]

If a program requires a fully-engaged student to spend 30 or more total hours (see page 110) per week in program-related activities, then:

- A FULL-TIME STUDENT is a student whose participation status in a program requiring 30 or more total hours per week is greater than or equal to .75, other students in such programs are part-time students.

8A "fully-engaged" student is one who is participating in a program to the extent required for the program to be completed in the time period specified by the institutionally defined LENGTH OF PROGRAM.

9See footnote 8 for definition of fully-engaged student.

10Some agencies apply the 30-hour criterion arbitrarily (e.g., full-time programs require 15 standard "credit hours" per semester, or part-time programs require a given number of "clock hours" per week).

11If some student financial aid programs, a student is considered to be "full-time" when taking a minimum of 12 semester hours in institutions with standard academic terms or a minimum of 24 clock hours per week in institutions which measure progress in terms of clock hours. Applicable regulations, instructions, or guidelines must be checked for specific financial aid programs. The National Science Foundation, for example, defines a full-time graduate student as a student enrolled for credit in a master's or Ph.D. degree program (not a regular staff member) who is engaged full time in training activities in his field of science; these activities may have any appropriate combination of study, teaching, and research, depending on the institution's policy. (See NSF Form 812, "Survey of Graduate Science Student Support and Postdoctorals, Fall 1976.") Similarly, students carrying 6 credit hours may be considered enrolled half-time for purposes of BEC, even if the institution chooses to define full-time as more than 12 credit hours (45 C.F.R. 190.2, June 24, 1980).
A full-time equivalent count in such programs is computed as follows:

\[
\text{FULL-TIME EQUIVALENT COUNT} = \frac{\text{sum of STUDENT LOADS in the program}}{\text{NORMAL LOAD}}
\]

(1) sum of STUDENT LOADS in the program

In other programs (requiring total fully-engaged student time less than 30 total hours per week), the following terms may be used to describe participation in the program:

- A NORMAL-TIME STUDENT is a student whose participation in a program requiring fewer than 30 total hours per week is greater than or equal to .75; other students in such programs are less than normal-time students.

The equivalent student count in such programs is:

\[
\text{EQUIVALENT STUDENT COUNT} = \frac{\text{sum of STUDENT LOADS in the program}}{\text{NORMAL LOAD}}
\]

(1) sum of STUDENT LOADS in the program

ENROLLMENT STATUS:

COOPERATIVE ENROLLMENT\(^\text{12}\)

Frequently, formal cooperative agreements are entered into by two or more separately organized institutions which allow students to take advantage of special educational opportunities at a second institution, frequently referred to as the "host," cooperating, or affiliated institution, while enrolled at, and pursuing a program of studies under the direction and control of, another institution. The latter, often referred to as the "home" institution, maintains the student's complete record. To illustrate, the student may take one or more courses or receive specific work-related training at a second institution, while concurrently receiving instruction at his or her "home" institution;\(^\text{13}\) or the student may be a participant in an "exchange" program and receive all instruction, for a specified period of time, at the second institution. Generally, these arrangements include procedures for the direct transmission of course performance information (including course title, award units received for course, and grade received for course) from the second to the "home" institution.

The "home" institution may wish to identify specifically the second institution at which a student has taken work, as well as his or her performance in these learning experiences. In such instances, institutional identification and course information descriptors provided on page 32 and on pages 52 to 54, respectively, may be used to identify such data as pertaining to the second or "host" institution; other information may be identified as pertaining to the "home" institution.

AWARD UNIT\(^\text{14}\)

Award unit is the generic term which describes various measures of the amount of value (or credit) received by a student for the successful completion of a course. Because of its generic nature, the term is not operational for the purpose of comparing one type of award unit with another. For example, a precise comparison cannot be made between a semester hour and a trimester hour without first converting these two award units to a numerical common denominator. One such common denominator, perhaps the most reliable, is the measure of real time.

Real-time measures provide common units of measurement when applied to similar activities (e.g., classroom instruction). Two real-time measures are defined below.

CONTACT HOUR/CLOCK HOUR: a measure of the duration of instruction which involves student-instructor interaction, usually over a period of 50 to 60 minutes. The contact hour/clock hour is widely used as an award unit in some sectors of postsecondary education.

TOTAL HOURS: the sum of contact hours/clock hours and outside hours (i.e., anticipated hours needed for outside study, as determined by the faculty) that the institution deems necessary for an average student to satisfactorily complete the requirements of a course.

The use of the real-time measures of contact hours/clock hours and total hours provides the ability to convert and then compare award units at different institutions. This procedure is illustrated in Figure B.4.

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\(^{12}\)Enrollment status is defined on page 47 of chapter 2.

\(^{13}\)For example, the student may be enrolled in a nursing program in a community college (or nursing school) and pursue part of his or her coursework in that institution (the "home" institution maintaining the student's record); concurrently, this student may receive his or her clinical experience in a second institution such as an affiliated hospital.

\(^{14}\)Award Unit is defined on page 55 of chapter 2.
NOTES ON USES OF SPECIFIC DATA ELEMENTS

FIGURE B-4—USE OF REAL-TIME MEASURES TO COMPARE VARYING TYPES OF AWARD UNITS

<table>
<thead>
<tr>
<th>Line</th>
<th>Institution “X”</th>
<th>Institution “Y”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Line 1</td>
<td>Pol. Sci. 101 = 1 Credit Unit</td>
<td>Pol. Sci. 101 = 3 Trimester Hours Credit</td>
</tr>
<tr>
<td>Line 2</td>
<td>Pol. Sci. 101 = 40 Contact Hours/Clock Hours</td>
<td>Pol. Sci. 101 = 20 Contact Hours/Clock Hours</td>
</tr>
<tr>
<td>Line 3</td>
<td>Pol. Sci. 101 = 40 Outside Hours</td>
<td>Pol. Sci. 101 = 60 Outside Hours</td>
</tr>
<tr>
<td>Line 4</td>
<td>Pol. Sci. 101 = 80 Total Hours</td>
<td>Pol. Sci. 101 = 80 Total Hours</td>
</tr>
</tbody>
</table>

As indicated in line 1 of Figure B-4, Institution X awards one credit unit for the successful completion of Political Science 101, while Institution Y awards three trimester hours credit. This information at first glance the type and number of award units for similar courses at two different universities gives no insight regarding the level of participation required to receive such credit. However, in line 2, award units have been translated into contact hours/clock hours, providing a basis for comparing like activities, although still not providing a complete description of the extent of participation. Therefore, line 3 indicates the anticipated number of outside hours which are required to complete the work of the course. Line 4 sums the total number of hours which the institution deems necessary to successfully complete Political Science 101 at Institutions X and Y, respectively.

It should be noted that the comparison of total hours for Political Science 101 at Institutions X and Y does not indicate that these courses are equivalent, since a quality factor is not entered in the formula. Nevertheless, the measurement of contact hours/clock hours and total hours does provide a method to compare and interpret various types of award units, through the use of real-time measures. Accordingly, the procedure of using real-time measures allows the factoring out of time considerations in making comparisons. Thus, quality judgments need not be confused by these duration factors.

An added utility of real-time measures is exhibited under the discussion of Student Load, Length of Program, and Total Award Units Required for Completion of Program, pages 109-110.
Appendix C

USES OF DATA ELEMENTS ABOUT POSTSECONDARY STUDENTS

INTRODUCTION

Data elements are "used" in many ways. To classify these various uses, the concept presented in Figure C-1 may be helpful. Most agencies collect data, retain data on records in a data base, analyze data, prepare reports, and use the reported data to help make decisions. Postsecondary institutions generally collect data directly from primary data sources (e.g., from forms completed by students). Some agencies use data from secondary sources, such as institutional data collected by other agencies through the use of survey forms. The arrows in the flow chart show the relevant data flows. The analysis of data might involve simple formatting, or it might involve extensive summarizing or a complete statistical or modeling procedure.

Based on this concept, data elements with standardized terms and definitions may be "used" profitably in the following ways:

- in designing primary data collection forms
- in designing data bases (files, records)
- in designing inputs to analyses and models
- in designing reports and analytic outputs
- in designing survey (secondary data collection) forms
- in defining and requesting the information needed for decisionmaking.

All of these uses of data elements, except the last, are related to the design of data systems. There are many texts on the use of standard data elements in relation to the design of postsecondary data systems.

FIGURE C-1.—FLOW OF POSTSECONDARY DATA
This appendix is a review of the uses of data elements in the last and most important sense: how standardized data elements may be used in identifying the information needed for decisionmaking and in increasing the validity and accurate interpretation of the resulting data.

To illustrate this use of terms, an example of an important decision is presented with a discussion of the data elements needed to provide data for informed decisionmaking.

**EXAMPLE OF THE USE OF DATA ELEMENTS IN THE PROCESSES THAT SUPPORT DECISIONMAKING**

One decision now faced by many institutions is what courses (regular or special) to give to disadvantaged students usually admitted under special admission procedures. As with any explicit decision process, the first step is to formulate questions which will elicit information (if available) relevant to the decision. For this particular decision, some of the questions the decisionmaker or his staff might ask are:

1. In institutions that have a significant number of students admitted under special procedures, what courses are now offered? Required?
2. What is the cost of these courses per student?
3. What is the difference in time required to complete a program (by the special admission students) between students who participated in special courses of various types (e.g., remedial English reading and writing) and those who did not? Does it depend on the extent, type, number, or duration of the special courses?
4. Do the amount of time required and the certainty of program completion seem to depend upon participation in special courses, on high school success level (e.g., rank in class), or on some other factor?
5. Does program success for these specially admitted students vary with the program (e.g., vocational or professional)?

These questions are stated somewhat informally. The next step in the process of analysis is to state information requirements using standard data elements presented in this handbook. This, of course, makes it easier to communicate the information requirements to those who have the data, whether within the agency or elsewhere.

The requests for information often take the form of a definition of a statistical table. For example, information bearing on the questions above might be found in tables such as:

**Table A**

<table>
<thead>
<tr>
<th>Heading: Name of institution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Body: Number of students</td>
</tr>
<tr>
<td>Columns: Admission decision (with subcategories)</td>
</tr>
<tr>
<td>Rows: Formal award sought</td>
</tr>
</tbody>
</table>

This table identifies institutions with relevant data.

**Table B**

<table>
<thead>
<tr>
<th>Heading: Name of institution</th>
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<tbody>
<tr>
<td>Body: Number of students who were admitted under special basis for disadvantaged.</td>
</tr>
<tr>
<td>Columns: Subject-matter area of course for special courses for high-risk students. (This is a characteristic of the course and would be found by cross reference to that file during data retrieval for analysis.)</td>
</tr>
<tr>
<td>Rows: Formal award sought (plus a row for &quot;total&quot;).</td>
</tr>
</tbody>
</table>

This table indicates the extent to which special courses are available and are utilized.

The next step of the analysis might be to develop a statistical regression between percentage of normal time (length of program) required to complete the program as a function of participation in special courses. The coefficients in the regression equation would indicate the amount by which such participation helps speed up progress toward program completion. The statistical analysis would indicate if the coefficients were statistically significant. If they were, the decisionmaker would have some information on the value of the special courses which would help to decide which types to continue or expand and which to phase out.

In an institution which does not yet have such courses, data from other institutions (directly or from a central State or Federal data base) would be helpful. Relevant standard data elements include: Racial/Ethnic Group, Sex, Highest Level of Education Completed (student's, male parent's, and female parent's), Proficiency with English, Formal Award Sought, Career/Occupation Aspiration, Family Income,
Amount of Student’s Financial Need, Admission Decision, Enrollment Status, Major Field of Study, Beginning Date of Attendance, Subject-Matter Area of Course, Award Units Received for Course, Grade Received for Course, Type of Termination, and Date of Last Attendance. Use of these data elements would help ensure receiving the most relevant data.

Some further brief examples follow of questions and the data elements that might be required to analyze data for their resolution.

The postsecondary educational planners for a State need to decide on the level of resources (e.g., staff, facilities, equipment, and supplies) that will be required in State-operated institutions. This is determined in part by estimates of future enrollment. There is some evidence that the proportion of community college graduates who transfer to State colleges is considerably lower than was anticipated when the community college goals were originally developed. This can have an impact on first- and second-year enrollments in the State colleges themselves as well as on upper level enrollment. Some data elements relevant to this type of decision are: Career/Occupation Aspiration, Highest Formal Award Sought, Name of Institution, Award Units Accepted, Total Award Units Accumulated, Highest Level of Education Completed, and Formal Award Received, etc.

Since it instituted a policy which eliminated most of its “required” basic courses, a particular university has become concerned that there is not enough work for the “teaching assistants” in its graduate programs. The university may need to revise its policies on the number of teaching assistants appointed and on scholarships for them. The administrators want to know the trend in registrations in basic courses during the five years the policy has been in effect, and whether that trend has been appreciably different among the major departments of the institution. Some relevant data elements are: Name of Department/Division/School, Course Title, Award Units Received for Course, Enrollment Status, etc.

The director of a State’s scholarship commission has been placed under pressure from several sources to prove that it is distributing State-administered aid programs equitably to male and female students. If not, decisions must be made about the way aid is granted. To study this, the commission has been charged to develop data covering five years to show that, in general, male and female students with comparable eligibility have received comparable aid, or that any inequities are in the process of being corrected. Relevant data elements are: Sex, Amount of Financial Aid, Amount of Awards, Prizes, or Other Assistance, Government Benefits, Amount of Financial Need; Name of Institution; etc.

In a given region of the country, a health planning agency is interested in knowing whether the postsecondary educational system in that region is likely to produce the number of health care professionals required by changes in regional population and in health care technology. If not, more (or fewer) programs would be instituted. To this end, the agency conducts a survey to ascertain the probable output (program completions) over the next 10 years for relevant schools and programs. It also wishes to analyze the occupations in which graduates work in the region. Relevant data elements are: Student Load, Formal Award Sought, Career/Occupation Aspirations, Name of Institution, Major Field of Study, Name of Department/Division/School, Subject-Matter Area of Course, Total Award Units Required for Completion of Program, Formal Award Received, Formal Award Date, Date of Expected Program Completion, (Subsequent) Work Performed, etc.

A State education agency and the leadership of the State’s university are disputing whether State aid to the institution and its students has kept pace in recent years with rising costs and inflation (adjusted by changes in student income). They wish to assemble a 10-year historical summary of aid-per-student and cost-per-student. Relevant data elements are: Expected Family Contribution; Government Benefits; Amount of Financial Aid Awarded to and Received by Student; Amount Authorized for Award, Prize, or Other Assistance (to Student); Amount of Award, Prize, or Other Assistance Received by Student; Current Market Value of Assets; Amount of Postsecondary Education Expense, Total Income, Financial Need; Name of Institution; etc.

A postsecondary institution has been offered additional capital and operating revenues if it will make its facilities and programs more accessible and effective for handicapped students. To project the ways in which it could make progress in this area, it needs to analyze the existence of barriers in programming and facilities which interfere with service to current or potential handicapped students. Relevant data elements are: Major Field of Study, Special Assistance Needs, Handicap Category, Transition Status at Registration (Entry), etc.

A county technical school believes it can generate larger enrollments and improve community support if it creates geographically decentralized satellite centers in addition to its main campus. To analyze this...
plan, it attempts to determine the geographic dispersion of its current student body, the inclination of current students to attend satellite programs, and the potential for new students if satellite centers were created. Relevant data elements are: Local Address, Permanent Address, Address of Employer, Formal Award Sought, Career/Occupational Aspirations, Special Assistance Needs, etc.

SUMMARY

Postsecondary student information systems, conforming to standard data elements, will enhance the ability of persons in the educational community to solve current problems with current analytical methods. Improved, standardized data will also suggest new analytical methods which can increase the effectiveness of educational leadership.
Appendix D

STANDARD FORMAT FOR CALENDAR DATE

Calendar date may be represented in up to eight consecutive positions coded in the following format:

CCYYMMDD

where CC denotes the century (if required)
YY denotes the tens and units identification of the year
MM denotes the standard numeric code of 01 through 12 corresponding to the month of the year
DD denotes the day of the month, expressed as 01 through 31.

Examples of coding calendar dates are: June 7, 1936 is coded as 19360607; 15 January 1969 is 19690115; August 20 is coded as 19670820; and February 5, 2005 is coded as 20050205. When the standard format for calendar date is used on documents which are transmitted internally or externally by the institution, the institutional subdivision and/or institution forwarding the data should indicate when the suggested convention for coding the century has been used.

In cases where the calendar date of record is not required with exact precision, (e.g., day is not needed) or a component of the calendar date is unknown, zeros can be inserted for the unnecessary or unknown component.

In many instances, it may be necessary to express a time frame as a segment of a school year (e.g., Fall semester of 1975, First Quarter of 1974, etc.), or simply the calendar year of occurrence. A date representing a portion of year may be coded in the following format:

CCYYAA

where CC denotes the century (if required)
YY denotes the year
AA denotes the segment of the school year

An arbitrary alphanumeric or numeric code can be assigned by the institution to represent the school year segment.

Using the above suggested format, Fall, 1975 may be coded as 1975 F, 75 F, or 7541 (where the code 41 denotes the Fall semester); First Quarter of 1977 may be coded as 19771Q or 197751 (where the code 51 denotes the First Quarter); and the year 1977 is coded as 1977 or 77. It should be specified when this coding convention or a similar one is used on documents that are transmitted internally and externally by the institution.

1 The standard calendar date format was adapted from U.S. Department of Commerce, National Bureau of Standards, Federal Information Processing Standards (FIPS) Publication No. 4, November 1, 1968. The format presented in this appendix has been expanded to account for a change in century (i.e., 19th to the 20th century). Furthermore, a format is suggested for coding segments of an academic year.
### Appendix E

#### STATE CODES

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NOTE: Codes are reserved as follows for possible future use: American Samoa (03), Guam (14), Puerto Rico (43), and Virgin Islands (52).
## Appendix F

### CODES FOR COUNTRIES, DEPENDENCIES, AND AREAS OF SPECIAL SOVEREIGNTY

<table>
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NOTE: All named entries with the letter "Q" as the second character of their codes are outlying areas of the United States.
### Codes for Countries, Dependencies, and Areas of Special Sovereignty—Continued

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# COUNTRIES, DEPENDENCIES, AND AREAS OF SPECIAL SOVEREIGNTY

## CODES FOR COUNTRIES, DEPENDENCIES, AND AREAS OF SPECIAL SOVEREIGNTY—Continued

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Appendix G

PART I. MAJOR AND MINOR FIELDS OF STUDY

Categories suggested for major and/or minor field of study in an area vocational school, technical institute, community/junior college, or other specialized school, included under .01a to .17a b low, are taken from Handbook VI, Standard Terminology for Curriculum and Instruction in Local and State School Systems.1 Major disciplines for higher education, included under .01b to .49b, are taken from A Taxonomy of Instructional Programs in Higher Education.2 (Code numbers for these two lists are taken directly from the source documents; the suffixes “a” and “b” have been added to avoid duplication of codes.) When further detail is required, reference should be made to Handbook VI and to the above-mentioned taxonomy.

.01a Agriculture .02b Architecture and environmental design
.04a Distributive education .03b Area studies
.07a Health occupations education .04b Biological sciences
.09a Home economics .05b Business and management
.14a Office occupations .06b Communications
.16a Technical education .07b Computer and information sciences
.17a Trade and industrial occupations .08b Education
.01b Agricultural and natural resources .09b Engineering
.02b Agriculture .10b Fine and applied arts
.03b Area studies .11b Foreign languages
.04b Biological sciences .12b Health professions
.05b Business and management .13b Home economics
.06b Communications .14b Law
.07b Computer and information sciences .15b Letters
.08b Education .16b Library science
.09b Engineering .17b Mathematics
.10b Fine and applied arts .18b Military sciences
.11b Foreign languages .19b Physical sciences
.12b Health professions .20b Psychology
.13b Home economics .21b Public affairs and services
.14b Law .22b Social sciences
.15b Letters .23b Theology
.16b Library science .49b Interdisciplinary studies
.17b Mathematics
.18b Military sciences
.19b Physical sciences
.20b Psychology
.21b Public affairs and services
.22b Social sciences
.23b Theology


PART II. SUBJECT-MATTER AREAS

Categories suggested for subject-matter areas are taken from the *A Classification of Educational Subject Matter*, and reflect broad areas. When further detail is required, reference should be made directly to that publication.3

01 – Agriculture and Renewable Natural Resources
02 – Architecture and Environmental Design
03 – Arts, Visual and Performing
04 – Business
05 – Communication
06 – Computer Science and Data Processing
07 – Education
08 – Engineering and Engineering Technology
09 – Health Care and Health Sciences
10 – Home Economics
11 – Industrial Arts, Trades, and Technology
12 – Language Linguistics, and Literature
13 – Law
14 – Libraries and Museums
15 – Life Sciences and Physical Sciences
16 – Mathematical Sciences
17 – Military Sciences
18 – Philosophy, Religion, and Theology
19 – Physical Education, Health Education, and Leisure
20 – Psychology
21 – Public Administration and Social Services
22 – Social Sciences and Social Studies

PART III. LANGUAGES4

01 Arab, modern standard
02 Arabic, colloquial (specify dialect)
03 Chinese, modern Mandarin
04 Chinese, Cantonese
05 Czech
06 Danish
07 English
08 French
09 German
10 Greek, modern
11 Hawaiian
12 Hebrew, modern (Israel)
13 Italian
14 Japanese
15 Norwegian
16 Polish
17 Portuguese
18 Russian
19 Spanish
20 Swedish
21 Vietnamese
22 African (non-Semitic) (specify)
23 Hind/Urdu
24 Korean
25 Filipino dialect (specify)
26 Yiddish
27 Finnish
28 Other modern foreign language (specify)
29 Socio-cultural dialect of English (specify)
30 Native American Indian tribal language (specify)

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Appendix H

STANDARD OCCUPATIONAL CLASSIFICATION SYSTEM

Major divisions of the Standard Occupational Classification System (SOC), selected subcategories, and the nature of the structure of the SOC are presented in this appendix. If further detail is required, it is recommended that the STANDARD OCCUPATIONAL CLASSIFICATION MANUAL be utilized.¹

Executive, Administrative and Managerial Occupations

11 OFFICIALS AND ADMINISTRATORS, PUBLIC ADMINISTRATION
   111 CHIEF EXECUTIVES AND GENERAL ADMINISTRATORS
   112 LEGISLATORS
   113 ADMINISTRATORS, GOVERNMENT AGENCIES
   117 INSPECTORS AND REGULATORY OFFICERS, GOVERNMENT
   119 OFFICIALS AND ADMINISTRATORS, PUBLIC ADMINISTRATION, NOT ELSEWHERE CLASSIFIED

12-13 OFFICIALS AND ADMINISTRATORS, OTHER
   121 GENERAL MANAGERS AND OTHER TOP EXECUTIVES
   122 FINANCIAL MANAGERS
   123 PERSONNEL AND INDUSTRIAL RELATIONS MANAGERS
   124 PURCHASING MANAGERS
   125 MANAGERS; MARKETING, ADVERTISING, AND PUBLIC RELATIONS
   126 MANAGERS; ENGINEERING, MATHEMATICS, AND NATURAL SCIENCES
   127 MANAGERS; SOCIAL SCIENCES AND RELATED FIELDS
   128 ADMINISTRATORS; EDUCATION AND RELATED FIELDS
   131 MANAGERS; MEDICINE AND HEALTH
   132 PRODUCTION MANAGERS, INDUSTRIAL
   133 CONSTRUCTION MANAGERS
   134 PUBLIC UTILITIES MANAGERS
   135 MANAGERS; SERVICE ORGANIZATIONS
   136 MANAGERS; MINING, QUARRYING, WELL DRILLING, AND SIMILAR OPERATIONS
   139 OFFICIALS AND ADMINISTRATORS; OTHER, NOT ELSEWHERE CLASSIFIED

14 MANAGEMENT RELATED OCCUPATIONS
141 ACCOUNTANTS, AUDITORS, AND OTHER FINANCIAL SPECIALISTS
142 MANAGEMENT ANALYSTS
143 PERSONNEL, TRAINING, AND LABOR RELATIONS SPECIALISTS
144 PURCHASING AGENTS AND BUYERS
145 BUSINESS AND PROMOTION AGENTS
147 INSPECTORS AND REGULATORY OFFICERS, NON-GOVERNMENT
149 MANAGEMENT RELATED OCCUPATIONS, NOT ELSEWHERE CLASSIFIED

Engineers and Architects
15 ARCHITECTS

16 ENGINEERS AND SURVEYORS

Natural Scientists and Mathematicians
17 COMPUTER, MATHEMATICAL, AND OPERATIONS RESEARCH OCCUPATIONS
171 COMPUTER SCIENTISTS
172 OPERATIONS AND SYSTEMS RESEARCHERS AND ANALYSTS
173 MATHEMATICAL SCIENTISTS

18 NATURAL SCIENTISTS
184 PHYSICAL SCIENTISTS
185 LIFE SCIENTISTS

Social Scientists, Social Workers, Religious Workers, and Lawyers
19 SOCIAL SCIENTISTS AND URBAN PLANNERS
191 SOCIAL SCIENTISTS
192 URBAN AND REGIONAL PLANNERS

20 SOCIAL, RECREATION, AND RELIGIOUS WORKERS
203 SOCIAL AND RECREATION WORKERS
204 RELIGIOUS WORKERS

21 LAWYERS AND JUDGES
211 LAWYERS
212 JUDGES

Teachers, Librarians, and Counselors
22 TEACHERS, COLLEGES AND UNIVERSITIES (INCLUDING JUNIOR COLLEGES)

23 TEACHERS, EXCEPT COLLEGE AND UNIVERSITY
231 PREKINDERGARTEN AND KINDERGARTEN TEACHERS
232 ELEMENTARY SCHOOL TEACHERS
233 SECONDARY SCHOOL TEACHERS
234 ADULT EDUCATION TEACHERS
235 TEACHERS; SPECIAL EDUCATION
239 TEACHERS, EXCEPT COLLEGE AND UNIVERSITY, NOT ELSEWHERE CLASSIFIED

24 VOCATIONAL AND EDUCATIONAL COUNSELORS

25 LIBRARIANS, ARCHIVISTS, AND CURATORS
251 LIBRARIANS
ARCHIVISTS AND CURATORS
STANDARD OCCUPATIONAL CLASSIFICATION SYSTEM

Health Diagnosing and Treating Practitioners
26 PHYSICIANS AND DENTISTS
261 PHYSICIANS
262 DENTISTS
27 VETERINARIANS
28 OTHER HEALTH DIAGNOSING AND TREATING PRACTITIONERS
281 OPTOMETRISTS
283 PODIATRISTS
289 HEALTH DIAGNOSING AND TREATING PRACTITIONERS, NOT ELSEWHERE CLASSIFIED

Registered Nurses, Pharmacists, Dietitians, Therapists, and Physician’s Assistants
29 REGISTERED NURSES
30 PHARMACISTS, DIETITIANS, THERAPISTS, AND PHYSICIAN’S ASSISTANTS
301 PHARMACISTS
302 DIETITIANS
303 THERAPISTS
304 PHYSICIAN’S ASSISTANTS

Writers, Artists, Entertainers, and Athletes
32 WRITERS, ARTISTS, PERFORMERS, AND RELATED WORKERS
321 AUTHORS
322 DESIGNERS
323 MUSICIANS AND COMPOSERS
324 ACTORS AND DIRECTORS
325 PAINTERS, SCULPTORS, CRAFT-ARTISTS AND ARTIST-PRINTMAKERS
326 PHOTOGRAPHERS
327 DANCERS
328 PERFORMERS, NOT ELSEWHERE CLASSIFIED
329 WRITERS, ARTISTS, AND RELATED WORKERS; NOT ELSEWHERE CLASSIFIED

33 EDITORS, REPORTERS, PUBLIC RELATIONS SPECIALISTS, AND ANNOUNCERS
331 EDITORS AND REPORTERS
332 PUBLIC RELATIONS SPECIALISTS AND PUBLICITY WRITERS
333 RADIO AND TELEVISION ANNOUNCERS

34 ATHLETES AND RELATED WORKERS

Health Technologists and Technicians
36 HEALTH TECHNOLOGISTS AND TECHNICIANS
362 CLINICAL LABORATORY TECHNOLOGISTS AND TECHNICIANS
363 DENTAL HYGIENISTS
364 HEALTH RECORD TECHNOLOGISTS AND TECHNICIANS
365 RADIOLOGIC TECHNOLOGISTS AND TECHNICIANS
366 LICENSED PRACTICAL NURSES
369 HEALTH TECHNOLOGISTS AND TECHNICIANS NOT ELSEWHERE CLASSIFIED

Technologists and Technicians, Except Health
37 ENGINEERING AND RELATED TECHNOLOGISTS AND TECHNICIANS
371 ENGINEERING TECHNOLOGISTS AND TECHNICIANS
372 DRAFTING AND SURVEYING TECHNICIANS
POSTSECONDARY STUDENT TERMINOLOGY

38 SCIENCE TECHNOLOGISTS AND TECHNICIANS
382 BIOLOGICAL TECHNOLOGISTS AND TECHNICIANS, EXCEPT HEALTH
383 CHEMICAL AND NUCLEAR TECHNOLOGISTS AND TECHNICIANS
384 MATHEMATICAL TECHNICIANS
389 SCIENCE TECHNOLOGISTS AND TECHNICIANS, NOT ELSEWHERE CLASSIFIED

39 TECHNICIANS; EXCEPT HEALTH, ENGINEERING, AND SCIENCE
391 AIR TRAFFIC CONTROLLERS
392 RADIO OPERATORS
393 PROGRAMMERS
396 LEGAL TECHNICIANS
399 TECHNICIANS, NOT ELSEWHERE CLASSIFIED

Marketing and Sales Occupations

40 SUPERVISORS; MARKETING AND SALES OCCUPATIONS
401 SUPERVISORS; SALES OCCUPATIONS, COMMODITIES
402 SUPERVISORS; SALES OCCUPATIONS, INSURANCE, REAL ESTATE, AND SERVICES

41 SALES OCCUPATIONS, COMMODITIES
412 TECHNICAL SALES WORKERS AND SERVICE ADVISORS
413 SALES REPRESENTATIVES
414-5 SALESPERSONS, COMMODITIES
416 SALES OCCUPATIONS; COMMODITIES, OTHER

42 INSURANCE, SECURITIES, REAL ESTATE, AND SERVICE SALES OCCUPATIONS
422 INSURANCE, REAL ESTATE, AND SECURITIES SALES OCCUPATIONS
425 SERVICES SALES OCCUPATIONS

43 SALES RELATED OCCUPATIONS
432 BUYERS; WHOLESALE AND RETAIL TRADE
433 DRIVER-SALES WORKERS
434 APPRAISERS AND RELATED OCCUPATIONS
435 DEMONSTRATORS, MODELS, AND SALES PROMOTERS
436 SHOPPERS
439 SALES OCCUPATIONS: OTHER, NOT ELSEWHERE CLASSIFIED

Clerical Occupations

45 SUPERVISORS; CLERICAL OCCUPATIONS
451-2 SUPERVISORS; CLERICAL, EXCEPT EQUIPMENT OPERATORS
453 SUPERVISORS; OFFICE AND COMPUTER EQUIPMENT OPERATORS

46-47 CLERICAL OCCUPATIONS, EXCEPT EQUIPMENT OPERATORS
461 SECRETARIES AND STENOGRAPHERS
462 TYPISTS AND RELATED KEYBOARD OPERATORS
463 GENERAL OFFICE CLERICAL OCCUPATIONS
464 INFORMATION CLERKS
465 COMMUNICATIONS EQUIPMENT OPERATORS
466 CORRESPONDENCE CLERKS AND ORDER CLERKS
468 CASHIERS AND BANK TELLERS
469 RECORD CLERKS

471 BOOKKEEPERS, BILLING, ACCOUNTING AND STATISTICAL CLERKS
472 MAIL AND POSTAL CLERKS
473 MESSAGE DISTRIBUTION CLERKS
STANDARD OCCUPATIONAL CLASSIFICATION SYSTEM

474 MATERIAL RECORDING, SCHEDULING, AND DISTRIBUTING CLERKS
478 ADJUSTERS, INVESTIGATORS, AND COLLECTORS
479 MISCELLANEOUS CLERICAL OCCUPATIONS

48 COMPUTING AND OFFICE EQUIPMENT OPERATORS
485 COMPUTER AND PERIPHERAL EQUIPMENT OPERATORS
486 BILLING, POSTING, AND CALCULATING MACHINE OPERATORS
487 DUPLICATING, MAIL AND OTHER MACHINE OPERATORS

Service Occupations

50 SUPERVISORS; SERVICE OCCUPATIONS
501 SUPERVISORS; SERVICE OCCUPATIONS, PROTECTIVE
502 SUPERVISORS; SERVICE OCCUPATIONS, EXCEPT PROTECTIVE AND HOUSEHOLD

51 PROTECTIVE SERVICE OCCUPATIONS
511 FIREFIGHTING AND FIRE PREVENTION OCCUPATIONS
512 POLICE AND DETECTIVES
513 GUARDS

52 SERVICE OCCUPATIONS, EXCEPT PRIVATE HOUSEHOLD AND PROTECTIVE
521 FOOD AND BEVERAGE PREPARATION AND SERVICE OCCUPATIONS
523 HEALTH SERVICE OCCUPATIONS
524 CLEANING AND BUILDING SERVICE OCCUPATIONS, EXCEPT PRIVATE HOUSEHOLD
525-6 PERSONAL SERVICE OCCUPATIONS

53 PRIVATE HOUSEHOLD OCCUPATIONS
532 DAY WORKERS
533 LAUNDERERS AND IRONERS
534 COOKS, PRIVATE HOUSEHOLD
535 HOUSEKEEPERS AND BUTLERS
536 CHILD CARE WORKERS, PRIVATE HOUSEHOLD
537 PRIVATE HOUSEHOLD CLEANERS AND SERVANTS
539 PRIVATE HOUSEHOLD OCCUPATIONS, NOT ELSEWHERE CLASSIFIED

Agricultural and Forestry Occupations, Fishers, and Hunters

55 FARM OPERATORS AND MANAGERS
551 FARMERS (WORKING PROPRIETORS)
552 FARM MANAGERS

56 OTHER AGRICULTURAL AND RELATED OCCUPATIONS
561 FARM OCCUPATIONS, EXCEPT MANAGERIAL
562 RELATED AGRICULTURAL OCCUPATIONS

57 FORESTRY AND LOGGING OCCUPATIONS
571 SUPERVISORS; FORESTRY AND LOGGING WORKERS
572 FORESTRY WORKERS, EXCEPT LOGGING
573 TIMBER CUTTING AND RELATED OCCUPATIONS
579 LOGGING OCCUPATIONS, NOT ELSEWHERE CLASSIFIED

58 FISHERS, HUNTERS, AND TRAPPERS
582 CAPTAINS AND OTHER OFFICERS, FISHING VESSEL
573 FISHERS
584 HUNTERS AND TRAPPERS
Construction and Extractive Occupations

60 SUPERVISORS; CONSTRUCTION AND EX extractive OCCUPATIONS
601 SUPERVISORS; CONSTRUCTION
602 SUPERVISORS; EXTRACTIVE OCCUPATIONS.

61 CONSTRUCTION TRADES
611 BRICKMASONs, STONEMASONs, AND HARD TILE SETTERs
612 CARPENTERS AND RELATED WORKERS
613 ELECTRICIANS AND POWER TRANSMISSION INSTALLERS
614 PAINTERS, PAPERHANGERS, AND PLASTERERS
615 PLUMBERS, PIPEFITTERS AND STEAMFITTERS
616-7 OTHER CONSTRUCTION TRADES
618 CONSTRUCTION INSPECTORS
619 HELPERS; CONSTRUCTION TRADES

62 EXTRACTIVE OCCUPATIONS
622 DRILLERS, OIL WELL
623 EXPLOSIVE WORKERS
624 MINING MACHINE OPERATORS
626 MINING OCCUPATIONS, NOT ELSEWHERE CLASSIFIED
629 HELPERS; EXTRACTIVE OCCUPATIONS

Transportation and Material Moving Occupations

63 SUPERVISORS; TRANSPORTATION AND MATERIAL MOVING OCCUPATIONS
631 SUPERVISORS; MOTORIZED EQUIPMENT OPERATORS
632 SUPERVISORS; MATERIAL MOVING EQUIPMENT OPERATORS

64 TRANSPORTATION OCCUPATIONS
641 MOTOR VEHICLE OPERATORS
643 RAIL TRANSPORT OCCUPATIONS
644 WATER TRANSPORTATION OCCUPATIONS
645 AIRPLANE PILOTS AND NAVIGATORS
648 TRANSPORTATION INSPECTORS
649 HELPERS; TRANSPORTATION OCCUPATIONS

65 MATERIAL MOVING OCCUPATIONS, EXCEPT TRANSPORTATION
651 MATERIAL MOVING EQUIPMENT OPERATORS
659 HELPERS, MATERIAL MOVING EQUIPMENT OPERATORS

Mechanics and Repairers

66 SUPERVISORS; MECHANICS AND REPAIRERS
67 MECHANICS AND REPAIRERS
671 VEHICLE AND MOBILE EQUIPMENT MECHANICS AND REPAIRERS
672 GARAGE AND SERVICE STATION RELATED OCCUPATIONS
673 INDUSTRIAL MACHINERY REPAIRERS
674 MACHINERY MAINTENANCE OCCUPATIONS
675 ELECTRICAL AND ELECTRONIC EQUIPMENT REPAIRERS
676 HEATING, AIR-CONDITIONING, AND REFRIGERATION MECHANICS
677 MISCELLANEOUS MECHANICS AND REPAIRERS
679 HELPERS; MECHANICS AND REPAIRERS
Production Working Occupations

71 SUPERVISORS; PRODUCTION OCCUPATIONS
711 SUPERVISORS; PRODUCTION OCCUPATIONS
712 SUPERVISORS; PRECISION PRODUCTION OCCUPATIONS

72 PRECISION PRODUCTION OCCUPATIONS
721-2 PRECISION METAL WORKERS
723 PRECISION WOODWORKERS
724 PRECISION PRINTING OCCUPATIONS
725 PRECISION TEXTILE, APPAREL AND FURNISHING MACHINE WORKERS
726 PRECISION WORKERS; ASSORTED MATERIALS
727 PRECISION FOOD PRODUCTION OCCUPATIONS
728 PRECISION INSPECTORS, TESTERS, AND RELATED WORKERS

73-74 MACHINE SETUP OPERATORS
731-2 METAL WORKING AND PLASTIC WORKING MACHINE SETUP OPERATORS
733 METAL FABRICATING MACHINE SETUP OPERATORS
734 METAL AND PLASTIC PROCESSING MACHINE SETUP OPERATORS
743 WOODWORKING MACHINE SETUP OPERATORS
744 PRINTING MACHINE SETUP OPERATORS
745 TEXTILE MACHINE SETUP OPERATORS
746-7 ASSORTED MATERIALS; MACHINE SETUP OPERATORS

75-76 MACHINE OPERATORS AND TENDERS
751-2 METAL WORKING AND PLASTIC WORKING MACHINE OPERATORS AND TENDERS
753 METAL FABRICATING MACHINE OPERATORS AND TENDERS
754 METAL AND PLASTIC PROCESSING MACHINE OPERATORS AND TENDERS
763 WOODWORKING MACHINE OPERATORS AND TENDERS
764 PRINTING MACHINE OPERATORS AND TENDERS
765 TEXTILE, APPAREL AND FURNISHINGS MACHINE OPERATORS AND TENDERS
766-7 MACHINE OPERATORS AND TENDERS; ASSORTED MATERIALS
769 HELPERS; MACHINE OPERATORS AND TENDERS

77 FABRICATORS, ASSEMBLERS, AND HAND WORKING OCCUPATIONS
771 WELDERS AND SOLDERERS
772 ASSEMBLERS
774 FABRICATORS, NOT ELSEWHERE CLASSIFIED
775 HAND WORKING OCCUPATIONS
779 HELPERS; FABRICATORS, INSPECTORS, AND PLANT OPERATORS

78 PRODUCTION INSPECTORS, TESTERS, SAMPLERS, AND WEIGHERS
782 PRODUCTION INSPECTORS, CHECKERS AND EXAMINERS
783 PRODUCTION TESTERS
784 PRODUCTION SAMPLERS AND WEIGHERS
785 GRADERS AND SORTERS, EXCEPT AGRICULTURAL
786 PRODUCTION INSPECTORS, NOT ELSEWHERE CLASSIFIED
787 PRODUCTION ROOM EXPEDITERS

79 PLANT AND SYSTEM OPERATORS
791 WATER AND SEWAGE TREATMENT PLANT OPERATORS
792 GAS PLANT OPERATORS
793 POWER PLANT OPERATORS
794 CHEMICAL PLANT OPERATORS
795 PETROLEUM PLANT OPERATORS
796 MISCELLANEOUS PLANT OR SYSTEM OPERATORS

Material Handlers, Equipment Cleaners, and Laborers

81 CONSTRUCTION LABORERS

82 FREIGHT, STOCK, AND MATERIAL MOVERS; HAND
822 GARBAGE COLLECTORS
823 STEVEDORES
824 STOCK HANDLERS AND BAGGERS
825 MACHINE FEEDERS AND OFFBEARERS
826 FREIGHT, STOCK, AND MATERIAL MOVERS, HAND, NOT ELSEWHERE CLASSIFIED

83 VEHICLE WASHERS AND EQUIPMENT CLEANERS

84 MISCELLANEOUS MANUAL OCCUPATIONS
841 HAND PACKERS AND PACKAGERS
842 LABORERS, EXCEPT CONSTRUCTION
846 MANUAL OCCUPATIONS, NOT ELSEWHERE CLASSIFIED

Military Occupations

91 MILITARY OCCUPATIONS

Miscellaneous Occupations

99 MISCELLANEOUS OCCUPATIONS
Appendix I

CLASSIFICATION OF U.S. NONIMMIGRANT VISA TYPES

The Immigration and Nationality Act (INA), as amended, designates approximately 30 nonimmigrant classes. The different classes of nonimmigrants are known by the sub-letter of the immigration law concerning their class. Listed below are the various types of visas of greatest concern to academic institutions. Foreign students generally are admitted to the U.S. with F-1 or J-1 visa types.

01 A-1 — Ambassador, public minister, career diplomatic or consular officer, and members of immediate family.

02 A-2 — Other foreign government official or employee, and members of immediate family.

03 A-3 — Attendant, servant, or personal employee of A-1 and A-2 classes, and members of immediate family.

04 B-1 — Temporary visitor for business.

05 B-2 — Temporary visitor for pleasure.

06 E-1 — Treaty trader, spouse and children.

07 F-1 — A bona fide and qualified student having a residence in a foreign country that he does not intend to abandon, who seeks to enter the U.S. temporarily as solely to pursue a full course of study at an institution of learning approved by the Immigration and Naturalization Service for nonimmigrant students.

08 F-2 — Spouse or child of student.

09 H-1 — Temporary worker of distinguished merit and ability.

10 H-3 — Trainee

11 J-1 — Exchange Visitor

12 J-2 — Spouse or child of Exchange Visitor.

19 Other Visa Type (Specify) — Any visa type not included in any of the above visa type categories.

1 The visa types displayed in this appendix were extracted from the complete list contained in 22 C.F.R. 41.12.
Appendix J

PART I. THE FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT OF 1974


Sec. 438. (a)(1)(A) No funds shall be made available under any applicable program to any educational agency or institution which has a policy of denying, or which effectively prevents, the parents of students who are or have been in attendance at a school of such agency or at such institution, as the case may be, the right to inspect and review the educational records of their children. If any material or document in the education record of a student includes information on more than one student, the parents of one of such students shall have the right to inspect and review only such part of such material or document as relates to such student or to be informed of the specific information contained in such part of such material. Each educational agency or institution shall establish appropriate procedures for the granting of a request by parents for access to the education records of their children within a reasonable period of time, but in no case more than forty-five days after the request has been made.

(B) The first sentence of subparagraph (A) shall not operate to make available to students in institutions of postsecondary education the following materials:

(i) financial records of the parents of the student or any information contained therein;

(ii) confidential letters and statements of recommendation, which were placed in the education records prior to January 1, 1975, if such letters or statements are not used for purposes other than those for which they were specifically intended;

(iii) if the student has signed a waiver of the student's right of access under this subsection in accordance with subparagraph (C), confidential recommendations—

(I) respecting admission to any educational agency or institution.

1Federal rules applicable to FERPA were printed in the Federal Register of June 17, 1976, (41 F R 24670) and appear in Part II of this appendix.
(II) respecting an application for employment, and
(III) respecting the receipt of an honor or honorary recognition.

(C) A student or a person applying for admission may waive his right of access to confidential statements described in clause (iii) of subparagraph (B), except that such waiver shall apply to recommendations only if (i) the student is, upon request, notified of the names of all persons making confidential recommendations and (ii) such recommendations are used solely for the purposes for which they were specifically intended. Such waivers may not be required as a condition for admission to, receipt of financial aid from, or receipt of any other services or benefits from such agency or institution.

(2) No funds shall be made available under any applicable program to any educational agency or institution unless the parents of students who are or have been in attendance at a school of such agency or at such institution are provided an opportunity for a hearing by such agency or institution, in accordance with regulations of the Secretary, to challenge the content of such student’s educational records, in order to insure that the records are not inaccurate, misleading, or otherwise in violation of the privacy or other rights of students, and to provide an opportunity for the correction or deletion of any such inaccurate, misleading, or otherwise inappropriate data contained therein and to insert into such records a written explanation of the parents respecting the content of such records.

(3) For the purposes of this section the term “educational agency or institution” means any public or private agency or institution which is the recipient of funds under any applicable program.

(4) (A) For the purposes of this section, the term “education records” means, except as may be provided otherwise in subparagraph (B), those records, files, documents, and other materials, which—
(i) contain information directly related to a student; and
(ii) are maintained by an educational agency or institution, or by a person acting for such agency or institution.

(B) The term “education records” does not include—
(i) records of instructional, supervisory, and administrative personnel and educational personnel ancillary thereto which are in the sole possession of the maker thereof and which are not accessible or revealed to any other person except a substitute;
(ii) if the personnel of a law enforcement unit do not have access to education records under subsection (b)(1), the records and documents of such law enforcement unit which (I), are kept apart from records described in subparagraph (A), (II) are maintained solely for law enforcement purposes, and (III) are not made available to persons other than law enforcement officials of the same jurisdiction;
(iii) in the case of persons who are employed by an educational agency or institution but who are not in attendance at such agency or institution, records made and maintained in the normal course of business which relate exclusively to such person in that person’s capacity as an employee and are not available for use for any other purpose; or
(iv) records on a student who is eighteen years of age or older, or is attending an institution of postsecondary education, which are made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in his professional or paraprofessional capacity, or assisting in that capacity, and which are made, maintained, or used only in connection with the provision of treatment to the student, and are not available to anyone other than persons providing such treatment,
Except that such records can be personally reviewed by a physician
or other appropriate professional of the student's choice.

(5) (A) For the purposes of this section the term "directory informa-
tion" relating to a student includes the following: the student's
name, address, telephone listing, date and place of birth, major field
of study, participation in officially recognized activities and sports,
weight and height of members of athletic teams, dates of attendance,
degrees and awards received, and the most recent previous educational
agency or institution attended by the student.

(B) Any educational agency or institution making public directory
information shall give public notice of the categories of information
which it has designated as such information with respect to each stu-
dent attending the institution or agency and shall allow a reasonable
period of time after such notice has been given for a parent to inform
the institution or agency that any or all of the information designated
should not be released without the parent's prior consent.

(6) For the purposes of this section, the term "student" includes
any person with respect to whom an educational agency or in-
stitution maintains education records or personally identifiable
information, but does not include a person who has not been in
attendance at such agency or institution.

(b) (1) No funds shall be made available under any applicable pro-
gram to any educational agency or institution which has a policy or
practice of permitting the release of education records (or personally
identifiable information contained therein other than directory in-
formation, as defined in paragraph (5) of subsection (a) ) of students
without the written consent of their parents to any individual, agency,
or organization, other than to the following—

(A) other school officials, including teachers within the educa-
tional institution or local educational agency, who have been
determined by such agency or institution to have legitimate educa-
tional interests;

(B) officials of other schools or school systems in which the
student seeks or intends to enroll, upon condition that the student's
parents be notified of the transfer, receive a copy of the record if
desired, and have an opportunity for a hearing to challenge the
content of the record;

(C) authorized representatives of (i) the Comptroller Gen-
eral of the United States, (ii) the Secretary, (iii) an administra-
tive head of an education agency (as defined in section 408(c)),
or (iv) State educational authorities, under the conditions set
forth in paragraph (3) of this subsection;

(D) in connection with a student's application for, or receipt
of, financial aid;

(E) State and local officials or authorities to whom such infor-
mation is specifically required to be reported or disclosed pursua-
tant to State statute adopted prior to November 19, 1974;

(F) organizations conducting studies for, or on behalf of,
educational agencies or institutions for the purpose of developing
validating, or administering predictive tests, administering stu-
dent aid programs, and improving instruction, if such studies are
conducted in such a manner as will not permit the personal identi-
fication of students and their parents by persons other than repre-
sentatives of such organizations and such information will be
destroyed when no longer needed for the purpose for which it is
conducted;

(G) accrediting organizations in order to carry out their ac-
crediting functions;

(H) parents of a dependent student of such parents, as defined
in section 152 of the Internal Revenue Code of 1954; and

(I) subject to regulations of the Secretary, in connection with an emergency, appropriate persons if the knowledge of such information is necessary to protect the health or safety of the student or other persons.

Nothing in clause (E) of this paragraph shall prevent a State from further limiting the number or type of State or local officials who will continue to have access thereto.

(2) No funds shall be made available under any applicable program to any educational agency or institution which has a policy or practice of releasing, or providing access to, any personally identifiable information in education records other than directory information, or as is permitted under paragraph (1) of this subsection.

(A) there is written consent from the student's parent specifying records to be released, the reasons for such release, and to whom, and with a copy of the records to be released to the student's parents and the student if desired by the parents; or

(B) such information is furnished in compliance with judicial order, or pursuant to any lawfully issued subpoena, upon condition that parents and the students are notified of all such orders or subpoenas in advance of the compliance therewith by the educational institution or agency.

(3) Nothing contained in this section shall preclude authorized representatives of (A) the Comptroller General of the United States, (B) the Secretary, (C) an administrative head of an education agency, or (D) State educational authorities from having access to student or other records which may be necessary in connection with the audit and evaluation of Federally-supported education programs, or in connection with the enforcement of the Federal legal requirements which relate to such programs: Provided, That except when collection of personally identifiable information is specifically authorized by Federal law, any data collected by such officials shall be protected in a manner which will not permit the personal identification of students and their parents by other than those officials, and such personally identifiable data shall be destroyed when no longer needed for such audit, evaluation, and enforcement of Federal legal requirements.

(4) (A) Each educational agency or institution shall maintain a record, kept with the education records of each student, which will indicate all individuals (other than those specified in paragraph (1) (A) of this subsection), agencies, or organizations which have requested or obtained access to a student's education record maintained by such educational agency or institution, and which will indicate specifically the legitimate interest that each such person, agency, or organization has in obtaining this information. Such record of access shall be available only to parents, to the school official and his assistants who are responsible for the custody of such records, and to persons or organizations authorized in, and under the conditions of, clauses (A) and (C) of paragraph (1) as a means of auditing the operation of the system.

(B) With respect to this subsection, personal information shall only be transferred to a third party on the condition that such party will not permit any other party to have access to such information without the written consent of the parents of the student.

(c) The Secretary shall adopt appropriate regulations to protect the rights of privacy of students and their families in connection with any surveys or data-gathering activities conducted, assisted, or authorized by the Secretary or an administrative head of an education agency. Regulations established under this subsection shall include provisions controlling the use, dissemination, and protection of such data. No survey or data-gathering activities shall be conducted by
the Secretary, or an administrative head of an education agency under an applicable program, unless such activities are authorized by law.

(d) For the purposes of this section, whenever a student has attained eighteen years of age, or is attending an institution of post-secondary education the permission or consent required of and the rights accorded to the parents of the student shall thereafter only be required of and accorded to the student.

(e) No funds shall be made available under any applicable program to any educational agency or institution unless such agency or institution informs the parents of students, or the students, if they are eighteen years of age or older, or are attending an institution of post-secondary education, of the rights accorded them by this section.

(f) The Secretary, or an administrative head of an education agency, shall take appropriate actions to enforce provisions of this section and to deal with violations of this section, according to the provisions of this Act, except that action to terminate assistance may be taken only if the Secretary finds there has been a failure to comply with the provisions of this section, and he has determined that compliance cannot be secured by voluntary means.

(g) The Secretary shall establish or designate an office and review board within the Department of Health, Education, and Welfare for the purpose of investigating, processing, reviewing, and adjudicating violations of the provisions of this section and complaints which may be filed concerning alleged violations of this section. Except for the conduct of hearings, none of the functions of the Secretary under this section shall be carried out in any of the regional offices of such Department.

PART II. PRIVACY RIGHTS OF PARENTS AND STUDENTS FEDERAL REGULATIONS

Subpart A—General

§ 99.1 Applicability of part.

§ 99.2 Purpose.

§ 99.3 Definitions.

§ 99.4 Student rights.

§ 99.5 Formulation of institutional policy and procedures.

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§ 99.9 Right to inspect and review education records.

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§ 99.12 Request to amend education records.

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Subpart D—Disclosure of Personally Identifiable Information From Education Records

§ 99.15 Prior consent for disclosure required.

§ 99.16 Prior consent for disclosure not required.

§ 99.17 Record of disclosures required to be maintained.

§ 99.18 Limitations on redisclosure.

§ 99.19 Conditions for disclosure to officials of other schools or school systems.

§ 99.20 Disclosure to certain Federal and State officials.

§ 99.21 Conditions for disclosure in health or safety emergencies.

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§ 99.23 Office and review board.

§ 99.24 Conflict with State or local law.

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§ 99.26 Complaint procedure.

§ 99.27 Termination of funding.

§ 99.28 Hearing procedures.

§ 99.29 Hearing before Panel or a Hearing Officer.

§ 99.30 Initial decision; final decision.

Authority: Sec. 438. Pub. L. 90-247. Title IV, as amended. 86 Stat. 574 (20 U.S.C. 1232g), unless otherwise noted.

Subpart A—General

§ 99.1 Applicability of part.

(a) This part applies to all educational agencies or institutions to which funds are made available under any Federal program for which the U.S. Commissi
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IV-A-1 and IV-B, respectively, of the Higher Education Act of 1965 as amended.

§ 99.2 Purpose.

The purpose of this part is to set forth requirements governing the protection of privacy of parents and students under section 428 of the General Education Provisions Act, as amended.

§ 99.3 Definitions.

As used in this Part-


"Attendance" at an agency or institution includes, but is not limited to: (a) attendance in person and by correspondence, and (b) the period during which a person is working under a work-study program.

"Commissioner" means the U.S. Commissioner of Education.

"Directory information" includes the following information relating to a student: the student's name, address, telephone number, date and place of birth, major field of study, participation in officially recognized activities and sports, and height and weight of members of athletic teams. Dates of attendance, degrees and awards received, the most recent previous award received, the most recent previous attendance at an institution of postsecondary education, is not included as directory information.

"Parent" includes a parent, a guardian, or an individual acting as a parent of a student in the absence of a parent or guardian.

"Secretary" means the Secretary of Education, and Welfare.

"Student" (a) includes any individual who is or has been in attendance at an educational agency or institution;

(b) The term does not include an individual who has not been in attendance at an educational agency or institution.

§ 99.6 Subpart A—Definitions.

Financial Aid, as used in § 99.31(a)

(4), means a payment of funds provided to an individual (or a payment in kind of tangible or intangible property to the individual) which is conditioned on the individual's attendance at an educational agency or institution.

"Institution of postsecondary education" means an institution which provides education to students beyond the secondary school level. "Secondary school level" means the educational level beyond grade 12 at which secondary education is provided, as determined under State law.

"Panel" means the body which will adjudicate cases under procedures set forth in §§ 99.65-99.67.

"Record" means any information or data in any medium, including but not limited to handwriting, print, tapes, film, microfilm, and microfiche.

"Secretary" means the Secretary of the U.S. Department of Health, Education, and Welfare.

"Student" (a) includes any individual with respect to whom an educational agency or institution maintains education records.
PART II—PRIVACY RIGHTS OF PARENTS AND STUDENTS

§ 99.1 Student rights.
(a) For the purposes of this part, whenever a student has attained eighteen years of age, or is attending an institution of postsecondary education, the student and the consent required of the parent of the student shall thereafter only be accorded to and required of the student or an eligible student with an opportunity to seek the correction of education records of the student through a request to amend the records or a hearing under Subpart C, and permitting the parent of a student or an eligible student to place a statement in the education records of the student as provided in § 99.21(e):
(b) The policy required to be adopted by paragraph (a) of this section shall be in writing and signed by the parent or student, as appropriate.

§ 99.6 Annual notification of rights.
(a) Each educational agency or institution shall give parents of students in attendance or eligible students in attendance at the agency or institution annual notice by such means as are reasonably likely to inform them of the following:
(1) The right to inspect and review the education records of the student
(2) The right to request amendments to inaccurate or inappropriate information in the education records
(3) The right to seek to communicate with the student
(b) Agencies and institutions of elementary and secondary education shall provide for the need to effectively notify parents of students identified as having a primary or home language other than English.

§ 99.7 Limitations on waivers.
(a) Subject to the limitations in this section and § 99.11(b), a revocation under this section of a student or an eligible student's consent may be revoked by the student at any time after he or she becomes an eligible student or an eligible student to in:pect and review the education records of the student
(b) An educational agency or institution may charge a fee for copies of education records
(c) All waivers under paragraph (c) of this section must be executed by the individual, regardless of age, rather than by the parent of the individual.

§ 99.8 Fees.
(a) An educational agency or institution may charge a fee for copies of education records which are made for the parents of students, students, and eligible students under section 438 of the Act and this part. Provided, That the fee does not effectively prevent the parents and students from exercising their right to inspect and review those records.
(b) An educational agency or institution may not charge a fee to search for or to retrieve the education records of a student

§ 99.11 Right to inspect and review education records.
(a) Each educational agency or institution, except as may be provided by § 99.12, shall permit the parent of a student or an eligible student to inspect and review the education records of the student at the agency or institution, to inspect and review the education records of the student.
(b) The right to inspect and review the education records of a student or an eligible student shall exist within a reasonable period of time, but in no case more than 45 days after the request has been made.
(c) The right to inspect and review education records under paragraph (a) of this section includes
(1) The right to a response from the educational agency or institution to reasonable requests for explanations and interpretations of the records;
(2) The right to obtain copies of the records from the educational agency or institution where failure of the agency or institution to provide the copies would effectively prevent a parent or eligible student from exercising the right to inspect and review the education records;
(c) The right to receive a statement from the educational agency or institution regarding the availability of the records; and
(d) The right to receive a copy of the statement from the educational agency or institution where the failure of the agency or institution to provide the copies would effectively prevent a parent or eligible student from exercising the right to inspect and review the education records.
§ 99.12 Limitations on right to inspect and review education records at the postsecondary level.

(a) An institution of postsecondary education is not required by section 438 of the Act or this part to permit a student to inspect and review the following records:

(1) Financial records and statements of their parents or any information contained therein;

(2) Confidential letters and confidential statements of recommendation which were placed in the education records of a student prior to January 1, 1975; Provided, That:

(i) The letters and statements were solicited with a written assurance of confidentiality, and

(ii) The letters and statements are used only for the purposes for which they were specifically intended;

(3) Confidential letters of recommendation and confidential statements of recommendation which were placed in the education records of the student after January 1, 1975.

(b) An educational agency or institution shall decide whether to amend the education records of the student in accordance with the request within a reasonable period of time after notice of the request.

§ 99.21 Right to a hearing.

(a) An educational agency or institution shall, on request, provide an opportunity for a hearing in order to challenge the content of a student's education records to insure that information in the education records of the student is not inaccurate, misleading or otherwise in violation of the privacy or other rights of students. The hearing shall be conducted in accordance with § 99.22.

(b) If, as a result of the hearing, the educational agency or institution decides that the information is inaccurate, misleading or otherwise in violation of the privacy or other rights of students, it shall amend the education records of the student accordingly and so inform the parent or the eligible student of the right to a hearing under § 99.21.

§ 99.22 Conduct of the hearing.

(a) The hearing shall be held within a reasonable period of time after the educational agency or institution has received the request, and the parent of the student or the eligible student shall be given notice of the date, place and time reasonably in advance of the hearing.

(b) The hearing may be conducted by the agency or institution with or without an attorney present, including an attorney designated by the parent or eligible student of the student if so requested by the student's parent or eligible student.

Subpart C—Amendment of Education Records

§ 99.20 Request to amend education records.

(a) The parent or an eligible student who believes that information contained in the education records of the student is inaccurate or misleading or violates the privacy or other rights of the student may request that the educational agency or institution which maintains the records amend them.

(b) The educational agency or institution shall decide whether to amend the education records of the student in accordance with the request within a reasonable period of time after receipt of the request.

(c) If the educational agency or institution refuses to amend the education records of the student in accordance with the request, it shall inform the parent or the eligible student of the right to a hearing under § 99.21.

§ 99.30 Prior consent for disclosure required.

(a) An educational agency or institution shall obtain the written consent of a student who is not an eligible student before disclosing personally identifiable information from the education records of a student, other than directory information, except as provided in § 99.31.

(b) Whenever written consent is required, an educational agency or institution may presume that the parent of the student or the eligible student giving consent has the authority to do so unless the agency or institution has been provided with evidence that there is a legally binding instrument, or a State law or court order governing such matters as division of custody, which provides to the contrary.

(c) The written consent required by paragraph (a) of this section must be signed and dated by the parent of the student or the eligible student giving the consent and shall include:

(1) A specification of the records to be disclosed;

(2) The purpose or purposes of the disclosure, and

(3) The party or class of parties to whom the disclosure may be made.

(d) When a disclosure is made pursuant to paragraph (a) of this section, the educational agency or institution shall, upon request, provide a copy of the record which is disclosed to the parent of the student or the eligible student, and to the student who is not an eligible student if so requested by the student's parent.

Subpart D—Disclosure of Personally Identifiable Information From Education Records

§ 99.31 Prior consent for disclosure not required.

(a) An educational agency or institution may disclose personally identifiable information from the education records of a student without the written consent of an eligible student or the student's parent after January 1, 1975: Provided, That.

(1) The record or contested portion thereof is reasonably in advance of the hearing;

(2) The party or class of parties to whom the disclosure may be made has no direct interest to the outcome of the hearing;

(3) The parent of the student or the eligible student shall be afforded a full and reasonable opportunity to present evidence relevant to the issues raised under § 99.21, and may be assisted or represented by individuals of his or her choice at his or her own expense, including an attorney;

(4) The educational agency or institution shall make its decision in writing within a reasonable period of time after the conclusion of the hearing; and

(5) The decision of the agency or institution shall be based solely upon the evidence presented at the hearing and shall include a summary of the evidence and the reasons for the decision.
PART II—PRIVACY RIGHTS OF PARENTS AND STUDENTS

1. To other school officials, including teachers, within the educational institution or local educational agency who have been determined by the agency or institution to have legitimate educational interests.

2. To officials of another school or school system in which the student seeks or intends to enroll, subject to the requirements set forth in §99.34.

3. Subject to the conditions set forth in §99.35, to authorized representatives of:

(a) The Comptroller General of the United States.

(b) The Secretary.

(c) The Commissioner, the Director of the National Institute of Education, or the Assistant Secretary for Education, or

(d) State educational authorities.

(e) In connection with financial aid for which a student has applied or which a student has received; Provided, That personally identifiable information from the education records of the student may be disclosed only as may be necessary for such purposes as:

(i) To determine the eligibility of the student for financial aid.

(ii) To determine the amount of the financial aid.

(iii) To enforce the terms and conditions of the financial aid.

(iv) To State and local officials or authorities when information is specifically required to be reported or disclosed pursuant to State statute adopted prior to November 19, 1974. This subparagraph applies only to statutes which require that specific information be disclosed to State or local officials and does not apply to statutes which permit but do not require disclosure Nothing in this paragraph shall prevent a State from further limiting the number or type of State or local officials to which disclosures are made under this subparagraph.

3. To organizations conducting studies for or on behalf of, educational agencies or institutions for the purpose of developing, validating, or administering predictive tests, administering student aid programs, and improving instruction. Provided, That the studies are conducted in a manner which will not permit the personal identification of students and their parents by individuals other than representatives of the organizations conducting the studies and the information will be destroyed when no longer needed for the purposes for which the study was conducted; the term "organizations" includes, but is not limited to, Federal, State and local agencies, and independent organizations. 

4. To accrediting organizations in order to carry out their accrediting functions.

5. To parents of a dependent student, as defined in section 152 of the Internal Revenue Code of 1954.

6. To comply with a judicial order or lawfully issued subpoena. Provided, That the educational agency or institution makes a reasonable effort to notify the parent of the student or the eligible student of the order or subpoena in advance of compliance therewith; and

7. To appropriate parties in a health or safety emergency subject to the conditions set forth in §99.36.

8. This section shall not be construed to require or preclude disclosure of personally identifiable information from the education records of a student by an educational agency or institution to the parties set forth in paragraph (a) of this section.

§99.34 Conditions for disclosure to officials of other schools and school systems.

(a) An educational agency or institution transferring the education records of a student pursuant to §99.31(a) (2) shall:

1. Make a reasonable attempt to notify the parent of the student or the eligible student of the transfer of the records at least known in advance of the transfer to the parent or eligible student, except:

2. When the transfer of the records is initiated by the parent or eligible student at the sending agency or institution, or

3. When the agency or institution includes a notice in its policies and procedures formulated under §99.5 that it forwards education records on request to a school in which a student seeks or intends to enroll; the agency or institution does not have to provide any further notice of the transfer;

4. Provide the parent of the student or the eligible student, upon request, with a copy of the education records which have been transferred; and

5. Provide the parent of the student or the eligible student, upon request, with an opportunity for a hearing under Subpart C of this part.

(b) If a student is enrolled in more than one school, or receives services from more than one school, the schools may disclose information from the education records of the student to each other without obtaining the written consent of the student; Provided, That the disclosure meets the requirements of paragraph (a) of this section.

§99.35 Disclosure to certain Federal and State officials for Federal program purposes.

(a) Nothing in section 438 of the Act or this part shall preclude authorized representatives of officials listed in §99.31(a) (3) from having access to student and other records which may be necessary in connection with the audit and evaluation of Federally supported education programs, or in connection with the enforcement of or compliance with the Federal legal requirements which relate to these programs.

(b) Except when the consent of the parent of a student or an eligible student has been obtained under §99.30, or when the collection of personally identifiable information is specifically authorized by Federal law, any data collected by officials listed in §99.31(a) (3) shall be protected in a manner which will not permit the personal identifica-
§ 99.36 Conditions for disclosure in health and safety emergencies.
(a) An educational agency or institution may disclose personally identifiable information from the education records of a student to appropriate parties in connection with an emergency if knowledge of the information is necessary to protect the health or safety of the student or other individuals.
(b) The factors to be taken into account in determining whether personally identifiable information from the education records of a student may be disclosed under this section shall include the following:
1. The seriousness of the threat to the health or safety of the student or other individuals.
2. The need for the information to meet the emergency.
3. Whether the parties to whom the information is disclosed are in a position to deal with the emergency.
4. The extent to which the information is needed to deal with the emergency.
(c) Paragraph (a) of this section shall be strictly construed.
[20 U.S.C. 1232g(b)(1)(i)]

§ 99.37 Conditions for disclosure of directory information.
(a) An educational agency or institution may disclose directory information from the education records of a student who is in attendance at the institution or agency if that information has been designated as directory information.
(b) An educational agency or institution may disclose directory information from the education records of a student who is no longer in attendance at the agency or institution without following the procedures under paragraph (a) of this section.
(c) A written request by the student or the student's parent or legal guardian of a student to whom directory information is to be released shall be honored by the educational agency or institution.
(d) An educational agency or institution may disclose directory information.
§ 99.60 Office and review board.
(a) The Secretary is required to establish, maintain, and operate a review board under section 438 of the Act.
(b) The review board shall review complaints alleging that an educational agency or institution is failing to comply with the requirements of section 438 of the Act or the regulations in this part.
(c) The review board shall issue final orders to resolve complaints.
§ 99.61 Conflict with State or local law.
An educational agency or institution which determines that it cannot comply with the requirements of section 438 of the Act or of this part because a State or local law conflicts with the provisions of section 438 of the Act or the regulations in this part shall advise the Office designated under § 99.60(b) within 45 days of any such determination, giving the text and legal citation of the conflicting law.

§ 99.62 Reports and records.
Each educational agency or institution shall (a) submit reports in the form and containing such information as the Office of the Review Board may require to carry out its functions under this part, and (b) keep the records and afford access thereto as the Office of the Review Board may require to assure the correctness of those reports and compliance with the provisions of sections 438 of the Act.

§ 99.65 Hearing procedures.
(a) Panels. The Chairman of the Review Board shall designate hearing panels to conduct one or more hearings under § 99.64.
(b) Procedural rules.
(1) With respect to hearings involving, in the opinion of the Panel, no dispute as to a material fact the resolution of which would be materially assisted by oral testimony, the Panel shall take appropriate steps to afford to each party to the proceeding an opportunity for presenting his case at the option of the Panel (i) in whole or in part in writing or (ii) in an informal conference before the Panel which shall afford each party an opportunity to be represented by counsel.
(2) With respect to hearings involving a dispute as to a material fact the resolution of which would be materially assisted by oral testimony, the Panel shall...
§ 99.66 Hearing before Panel or a Hearing Officer.

A hearing pursuant to § 99.65(b)(2) shall be conducted, as determined by the Panel Chairman, either before the Panel or a hearing officer. The hearing officer may be (a) one of the members of the Panel or (b) a nonmember who is appointed as a hearing examiner under 5 U.S.C. 3105.

§ 99.67 Initial decision; final decision.

(a) The Panel shall prepare an initial written decision, which shall include findings of fact and conclusions based thereon. When a hearing is conducted before a hearing officer alone, the hearing officer shall separately find and state the facts and conclusions which shall be incorporated in the initial decision prepared by the Panel.

(b) Copies of the initial decision shall be mailed promptly by the Panel to each party (or to the party’s counsel), and to the Secretary with a notice affording the party an opportunity to submit written comments thereon to the Secretary within a specified reasonable time.

(c) The initial decision of the Panel transmitted to the Secretary shall become the final decision of the Secretary, unless, within 25 days after the expiration of the time for receipt of written comments, the Secretary advises the Review Board in writing of his determination to review the decision.

(d) In any case in which the Secretary modifies or reverses the initial decision of the Panel, he shall accompany that action with a written statement of the grounds for the modification or reversal, which shall promptly be filed with the Review Board.

(e) Review of any initial decision by the Secretary shall be based upon the decision, the written record, if any, of the Panel’s proceedings, and written comments or oral arguments by the parties, or by their counsel, to the proceedings.

(f) No decision under this section shall become final until it is served upon the educational agency or institution involved or its attorney.
Appendix K

PART I. RULES AND REGULATIONS FOR PART B OF THE EDUCATION FOR ALL HANDICAPPED CHILDREN ACT

The following materials are a small segment of the rules and regulations pertaining to Part B of the Education for All Handicapped Children Act (PL 94-142). Also included is a discussion of the relationship between these regulations and the regulations of Section 504 of the Rehabilitation Act of 1973. Persons studying their responsibilities under these regulations should consult a complete version of the most recent applicable regulations.

Subpart A—General

Purposes, Applicability, and General Provisions Regulations

§ 121a.1 Purpose.

The purpose of this part is:

(a) To insure that all handicapped children have available to them a free appropriate public education which includes special education and related services to meet their unique needs.

(b) To insure that the rights of handicapped children and their parents are protected.

(c) To assist States and localities to provide for the education of all handicapped children, and

(d) To assess and ensure the effectiveness of efforts to educate those children.

(20 U.S.C. 1401 Note.)

§ 121a.2 Applicability to State, Local, and Private Agencies.

(a) States. This part applies to each State which receives payments under Part B of the Education of the Handicapped Act.

(b) Public agencies within the State. The annual program plan is submitted by the State educational agency on behalf of the State as a whole. Therefore, the provisions of this part apply to all political subdivisions of the State that are involved in the education of handicapped children. These would include: (1) The State educational agency, (2) local educational agencies and intermediate educational units, (3) other State agencies and schools (such as Departments of Mental Health and Welfare and State schools for the deaf or blind), and (4) State educational facilities.

(c) Private schools and facilities. Each public agency in the State is responsible for insuring that the rights and protections under this part are given to children referred to or placed in private schools and facilities by that public agency.

(See § 121a.400-121a.403.)

(20 U.S.C. 1412(1), (6); 1412(a); 1413(a) (4) (B).)

Comment. The requirements of this part are binding on each public agency that has direct or delegated authority to provide special education and related services in a State that receives funds under Part B of the Act, regardless of whether that agency is receiving funds under Part B.

§ 121a.3 General provisions regulations.

Assistance under Part B of the Act is subject to Parts 100, 100b, 100c, and 121 of this chapter, which include definitions and requirements relating to fiscal, administrative, property management, and other matters.

(20 U.S.C. 1417(b).)

Definitions

Comment. Definitions of terms that are used throughout these regulations include in this subpart. Other terms are defined in the specific subparts in which they are used. Below is a list of those terms and the specific sections and subparts in which they are defined:

Consent (Section 121a.500 of Subpart E)

Destruction (Section 121a.560 of Subpart E)

Direct services (Section 121a.370(b) (1) of Subpart E)

Evaluation (Section 121a.500 of Subpart E)

First priority children (Section 121a.320(a) of Subpart E)

Independent educational evaluation (Section 121a.500 of Subpart E)

Individualized education program (Section 121a.340 of Subpart E)

Participating agency (Section 121a.500 of Subpart E)

Personally identifiable (Section 121a.500 of Subpart E)

Private school handicapped children (Section 121a.560 of Subpart D)

Public expense (Section 121a.340 of Subpart D)

Support services (Section 121a.370(b) (2) of Subpart E)

Special definition of "State" (Section 121a.700 of Subpart E)

Second priority children (Section 121a.320(b) of Subpart E)

§ 121a.4 Free appropriate public education.

As used in this part, the term "free appropriate public education" means special education and related services which:

(a) Are provided at public expense, under public supervision and direction, and, without charge.

(b) Meet the standards of the State educational agency, including the requirements of this part.
§ 121a.5 Handicapped children.

(a) As used in this part, the term “handicapped children” means those children evaluated in accordance with §§ 121a.330–121a.334 as being mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, other health impaired, deaf-blind, multi-handicapped, or as having specific learning disabilities, who because of those impairments need special educational and related services.

(b) The terms used in this definition are defined as follows:

(1) “Deaf” means a hearing impairment which is so severe that the child is impaired in processing linguistic information through hearing, with or without amplification, which adversely affects educational performance.

(2) “Deaf-blind” means concomitant hearing and visual impairments, which adversely affects a child’s educational performance.

(3) “Hard of hearing” means a hearing impairment, whether permanent or fluctuating, which adversely affects a child’s educational performance, but which is not included under the definition of “deaf” in this section.

(4) “Mentally retarded” means significantly subaverage general intellectual functioning existing concurrently with other impairments, which adversely affects a child’s educational performance.

(5) “Multiple handicapped” means concomitant handicaps (such as mentally retarded-blind, mentally retarded-orthopedically impaired, etc.), the combination of which causes such severe educational and emotional problems that they cannot be accommodated in special education programs solely for deaf or blind children.

(6) “Orthopedically impaired” means a severe orthopedic impairment which adversely affects a child’s educational performance. The term includes impairments caused by congenital anomalies (e.g., clubfoot, absence of some member, etc.), impairments caused by disease (e.g., poliomyelitis, bony tuberculosis, etc.), and impairments from other causes (e.g., cerebral palsy, amputations, and fractures or burns which cause contractions).

(7) “Other health impaired” means limited strength, vitality or alertness, due to other health problems such as a heart condition, tuberculosis, rheumatic fever, nephritis, anemia, sickle cell anemia, hemophilia, epilepsy, lead poisoning, leukemia, or diabetes, which adversely affects a child’s educational performance.

(8) “Seriously emotionally disturbed” is defined as follows:

(i) The term means a condition exhibiting one or more of the following characteristics over a long period of time and to a marked degree, which adversely affects educational performance:

(A) An inability to learn which cannot be explained by intellectual, sensory, or health factors;

(B) An inability to build or maintain satisfactory interpersonal relationships with peers and teachers;

(C) Inappropriate types of behavior or feelings under normal circumstances;

(D) A general pervasive mood of unhappiness or depression; or

(E) A tendency to develop physical symptoms or fears associated with personal or school problems.

(ii) The term includes children who are schizophrenic or autistic. The term does not include children who are so educationally deprived that they are included in the category of educationally disadvantaged, whether like or unlike the ones so deprived.

§ 121a.6 Include.

As used in this part, the term “include” means that the items named are not all of the possible items that are covered, whether like or unlike the ones named.

§ 121a.7 Intermediate educational unit.

As used in this part, the term “intermediate educational unit” means any public authority, other than a local educational agency, which:

(a) Is under the general supervision of a State educational agency;

(b) Is located within the State for the purpose of providing free public education on a regional basis; and

(c) Provides special education and related services to handicapped children within that State.

§ 121a.8 Local educational agency.

(a) As used in this part, the term “local educational agency” means a public agency of education within the State or political subdivision thereof, whether or not any other public institution or agency having administrative control and direction of a public elementary or secondary school, such as the school district, the or governmental subdivision of a State, which has been designated as the educational agency for the purpose of providing free public education for handicapped children, or is included in the category of educationally disadvantaged, whether like or unlike the ones so included.

(b) For the purposes of this part, the term “local educational agency” also includes intermediate educational units.

§ 121a.9 Native language.

As used in this part, the term “native language” has the meaning given that term by section 703(a) (2) of the Bilingual Education Act, which provides as follows:

The term “native language”, when used with reference to a person of limited English-speaking ability, means the language normally used by that person, or, in the case of a child, the language normally used by the parents of the child.

§ 121a.10 Parent.

As used in this part, the term ‘parent’ means a parent, a guardian, a person acting as a parent of a child, or a surrogate parent who has been appointed in accordance with § 121a.514. The term does not include the State if the child is a ward of the State.

§ 121a.11 Comment.

The term “parent” is defined to include persons acting in the place of a parent, such as a grandmother or stepmother, with whom a child lives, as well as persons who are legally responsible for a child’s welfare.
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§ 121a.11 Public agency.

As used in this part, the term “public agency” includes the State educational agency, local educational agencies, intermediate educational units, and any other political subdivisions of the State which are responsible for providing education to handicapped children.

(20 U.S.C. 1412(2)(B), 1412(6), 1413(a) )

§ 121a.12 Qualified.

As used in this part, the term “qualified” means that a person has met State educational agency approved or recognized certification, licensing, registration, or other comparable requirements which apply to the area in which he or she is providing special education or related services.

(20 U.S.C. 1417(b) )

§ 121a.13 Related services.

(a) As used in this part, the term “related services” means transportation and such developmental, corrective, and other supportive services as are required to assist a handicapped child to benefit from special education, and includes speech pathology and audiology, psychological services, physical and occupational therapy, recreation, early identification and assessment of disabilities in children, counseling services, and medical services for diagnostic or evaluation purposes. The term also includes school health services, social work services in schools, and parent counseling and training.

(b) The terms used in this definition are defined as follows:

(1) “Audiology” includes:

(I) Identification of children with hearing loss;

(II) Determination of the range, nature, and degree of hearing loss, including referral for medical or other professional attention for the habilitation of hearing;

(III) Provision of habilitative activities, such as language habilitation, auditory training, speech reading (lip-reading), hearing evaluation, and speech conservation;

(IV) Creation and administration of programs for prevention of hearing loss;

(V) Counseling and guidance of pupils, parents, and teachers regarding hearing loss;

(VI) Determination of the child's need for group and individual amplification, selecting and fitting an appropriate aid, and evaluating the effectiveness of amplification.

(2) “Counseling services” means services provided by qualified social workers, psychologists, guidance counselors, or other qualified personnel.

(3) “Early identification” means the implementation of a formal plan for identifying disabilities as early as possible in a child's life.

(4) “Medical services” means services provided by a licensed physician to determine a child's medically related handicap condition which results in the child's need for special education and related services.

(5) “Occupational therapy” includes:

(I) Improving, developing or restoring functions impaired or lost through illness, injury, or deprivation;

(II) Improving, performing, or adapting the child to the environment;

(III) Preventing, through early intervention, initial or further impairment or loss of function;

(IV) Parent counseling and training;

(6) “Parent counseling and training” means assisting parents in understanding the special needs of their child and providing parents with information about child development.

(7) “Physical therapy” means services provided by a qualified physical therapist.

(8) “Psychological services” include:

(I) Administering psychological and educational tests, and other assessment procedures;

(II) Interpreting assessment results;

(III) Obtaining, integrating, and interpreting information about child behavior and conditions relating to learning.

(IV) Consultation with other staff members in programs designed to meet the special needs of children as indicated by psychological tests, interviews, and behavioral evaluations;

(V) Planning and managing a program of psychological services, including psychological counseling for children and parents.

(9) “Recreation” includes:

(I) Assessment of leisure function;

(II) Therapeutic recreation services;

(III) Recreation programs in schools and community agencies; and

(IV) Leisure education.

(10) “School health services” means services provided by a qualified school nurse or other qualified person.

(11) “Social work services in schools” include:

(I) Preparing a social or developmental history on a handicapped child;

(II) Group and individual counseling with the child and family;

(III) Working with those problems in a child's living situation (home, school, and community) that affect the child's adjustment in school; and

(IV) Mobilizing school and community resources to enable the child to receive maximum benefit from his or her educational program.

(12) “Speech pathology” includes:

(I) Identification of children with speech or language disorders;

(II) Diagnosis and appraisal of specific speech or language disorders;

(III) Referral for medical or other professional attention necessary for the habilitation of speech or language disorders;

(IV) Provisions of speech and language services for the habilitation or prevention of communicative disorders; and

(V) Counseling and guidance of parents, children, and teachers regarding speech and language disorders.

(13) “Transportation” includes:

(I) Travel and from school and between schools;

(II) Travel in and around school buildings; and

(III) Specialized equipment (such as special or adapted buses, lifts, and ramps), if required to provide special transportation for a handicapped child.

(20 U.S.C. 1401(17). )

Comment With respect to related services, Senate Report states:

The Committee bill provides a definition of “related services,” making clear that all such related services may not be required in an individualized education program, but that the term includes early identification and assessment of handicapping conditions and provision of services to minimize the effects of such conditions.

(Senate Report No. 94-188, p.12 (1975). )

The list of related services is not exhaustive and may include other developmental, corrective, or supportive services (such as art, music, physical therapy, or dance therapy), if they are required to assist a handicapped child to benefit from special education.

There are certain kinds of services which might be provided by persons from varying professional backgrounds and with a variety of operational titles, depending upon requirements in individual states. For example, speech therapy might be provided by qualified school social workers, psychologists, or guidance counselors; and psychological testing might be done by qualified psychological examiners, psychometrists, or psychologists, depending upon State standards.

Each related service defined under this part may include appropriate administrative and supervisory activities that are necessary for program planning, management, and evaluation.

§ 121a.14 Special education.

(a) As used in this part, the term “special education” means specially designed instruction, at no cost to the parents, to meet the unique needs of a handicapped child, including classroom instruction, instruction in physical education, home instruction, and instruction in hospitals and institutions.

(2) The term includes speech pathology, occupational therapy, and any other services which, in any educational program, consist of specially designed instruction, at no cost to the parents, to meet the unique needs of a handicapped child, and is considered “special education” rather than a related service under State standards.

(3) The term also includes vocational education: if it consists of specially designed instruction, at no cost to the parents, to meet the unique needs of a handicapped child.

(b) The terms in this definition are defined as follows:

(1) “At no cost” means that all specially designed instruction is provided without charge, but does not preclude incidental fees which are normally charged to non-handicapped students, or their parents as a part of the regular educational program.

(2) “Physical education” is defined as follows:

(1) The term means the development of:

(A) Physical and motor fitness;

(B) Fundamental motor skills and patterns; and
(C) Skills in aquatic, dance, and individual and group games and sports (including intramural and lifetime sports).

(ii) The term includes special physical education, adapted physical education, movement education, and motor development.

(30 U.S.C. 1401(16).)

(b) "Vocational education" means organized educational programs which are directly related to the preparation of individuals for paid or unpaid employment, or for additional preparation for a career requiring other than a baccalaureate or advanced degree.

(30 U.S.C. 1401(18).)

RELATIONSHIP BETWEEN REGULATIONS UNDER PART B AND REGULATIONS UNDER SECTION 504

The regulations under section 504 of the Rehabilitation Act of 1973 (45 CFR Part 84; published at 42 FR 23076; May 4, 1977) deal with nondiscrimination on the basis of handicap and basically require that recipients of Federal funds provide equal opportunities to handicapped persons (for example, that they meet the needs of handicapped persons as adequately as the needs of nonhandicapped persons are met). The regulations under section 504 of the Rehabilitation Act, as amended by Pub. L. 94-441, and the regulations under section 504 of the Rehabilitation Act, as amended by Pub. L. 94-646, and Federal funds other than those in Part B of the Education of the Handicapped Act, Part B regulations (for example, barrier-free facilities and program accessibility; employment; community services; and mental health and social services). On the other side, Part B contains a substantial number of administrative requirements not included under section 504. The regulations under section 504 also deal with a number of subjects not covered by the Part B regulations (for example, barrier-free facilities and program accessibility; employment; community services; and mental health and social services) on the other side, Part B contains a substantial number of administrative requirements not included under section 504. The regulations under section 504 also deal with a number of subjects not covered by the Part B regulations (for example, barrier-free facilities and program accessibility; employment; community services; and mental health and social services).

In several instances, the section 504 regulations specifically reference where a requirement may be met by complying with a requirement under Part B. For example, the definition of "handicapped person" and "qualified handicapped person" under section 504 covers a broader population than the definition of "handicapped child" under Part B. Under the Part B definition, a handicapped child is a child who has one of the impairments listed in the Act, who because of that impairment requires special education and related services. Under section 504, a handicapped person is a person who has a physical or mental impairment that substantially limits one or more major life activities, has a record of that type of impairment, or is regarded as having that impairment (§ 414(c)).

The regulations for section 504 also deal with a number of subjects not covered by the Part B regulations (for example, barrier-free facilities and program accessibility; employment; community services; and mental health and social services). On the other side, Part B contains a substantial number of administrative requirements not included under section 504. The regulations under section 504 also deal with a number of subjects not covered by the Part B regulations (for example, barrier-free facilities and program accessibility; employment; community services; and mental health and social services) on the other side, Part B contains a substantial number of administrative requirements not included under section 504. The regulations under section 504 also deal with a number of subjects not covered by the Part B regulations (for example, barrier-free facilities and program accessibility; employment; community services; and mental health and social services).

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In April 1977, a final Section 504 regulation was issued for all recipients of funds from the U.S. Department of Health, Education, and Welfare, including elementary and secondary schools, colleges, hospitals, social service agencies, and in some instances, doctors. The Section 504 regulation will effect fundamental changes in many facets of American life, in the actions and attitudes of institutions and individuals toward handicapped persons.

The term handicap includes such diseases or conditions as speech, hearing, visual and orthopedic impairments, cerebral palsy, epilepsy, muscular dystrophy, multiple sclerosis, cancer, diabetes, heart disease, mental retardation, emotional illness, and specific learning disabilities such as perceptual handicaps, dyslexia, minimal brain dysfunction, and developmental aphasia.

In accordance with a formal opinion of the Attorney General of the United States, alcohol and drug addicts are also considered handicapped individuals. Physical or mental impairments do not constitute a handicap, however, unless they are severe enough to substantially limit one or more of the major life functions.

**PROGRAM ACCESSIBILITY**

The regulation provides that programs must be accessible to handicapped persons. It does not require that every building or part of a building must be accessible but the program as a whole must be accessible. Structural changes to make the program accessible must be made only if alternatives, such as reassignment of classes or home visits, are not possible. The intent is to make all benefits or services available to handicapped persons as soon as possible. Institutions are given 3 years to complete structural changes to their physical plants, nonstructural changes must be made in 60 days.

In meeting the objective of program accessibility, a recipient must take care not to isolate or concentrate handicapped persons in settings away from nonhandicapped program participants.

All buildings for which site clearance has begun after June 3, 1977, must be designed and constructed to be accessible to handicapped persons from the start. The design standards of the American National Standards Institute (ANSI) can be used to determine minimal requirements for accessibility.

**PRESCHOOL, ELEMENTARY AND SECONDARY, AND ADULT EDUCATION**

The basic requirements are:

- That no handicapped child can be excluded from a public education because of disability; this requirement is effective immediately.
- That every handicapped child is entitled to a free appropriate education, regardless of the nature or severity of handicap, complete compliance with this requirement must be achieved by September 1, 1978.
- That handicapped students must not be segregated in public schools but must be educated with nonhandicapped students to the maximum extent appropriate to their needs.
- That evaluation procedures be improved in order to avoid the inappropriate education that results from misclassification.
- That procedural safeguards be established so parents and guardians can object to evaluation and placement decisions made with respect to their children.
- That State or local educational agencies locate and identify unserved handicapped children.

An appropriate education can be afforded by many different methods, including use of regular classes with or without aids, depending on need; in private or public homes or institutions, or through combinations of such methods so long as handicapped and nonhandicapped students are educated together to the maximum extent possible. The result should be to provide the education program best suited to the individual needs of handicapped people.

It should be emphasized that where a handicapped student is so disruptive that education of other students in the classroom is impaired, the student can be reassigned. A common sense rule of reason applies in such cases.

The regulation provides that school systems bear special responsibilities, in some instances, for transportation of handicapped people to and from education programs. Where placement in a public or private residential program is necessary, the school district has responsibility for the costs of the program, nonmedical care, room and board, and transportation.
POSTSECONDARY EDUCATION

In colleges and other postsecondary institutions, recruitment, admissions, and the treatment of students must be free of discrimination. Quotas for admission of handicapped persons are ruled out, as are preadmission inquiries as to whether an applicant is handicapped. However, voluntary post-admission inquiries may be made in advance of enrollment concerning handicapping conditions to enable an institution to provide necessary services.

Higher education institutions must assure accessibility of programs and activities to handicapped students and employees. Architectural barriers must be removed where the program is not made accessible by other means. A university, however, is not expected to make all its classroom buildings accessible in order to comply with program accessibility standards. It may have to undertake some alterations, or it may reschedule classes to accessible buildings, or take other steps to open the program to handicapped students. Handicapped persons should have the same options available to others in selecting courses.

Other obligations of the institutions include:
- Tests which a college or university uses or relies upon, including standardized admissions tests, must not discriminate against handicapped persons. Tests must be selected and administered so that the test results of students with impaired sensory, manual, or speaking skills are not distorted unfairly but measure the student's aptitude or achievement level, and not his or her disability.
- Students with impaired sensory, manual, or speaking skills must be provided auxiliary aids (although this may be done by informing them of resources provided by government or charitable organizations).
- Colleges and universities must make reasonable modifications in academic requirements, where necessary, to ensure full educational opportunity for handicapped students. Such modifications may include the extension of time for completing degree requirements, adaptation of the manner in which specific courses are conducted, and elimination of rules prohibiting handicapped persons from having tape recorders in class or guide dogs on campus.
- Physical education must be provided in a nondiscriminatory manner and handicapped students cannot be unnecessarily segregated in physical education classes.
- Infirmary services must be provided handicapped students on a par with those offered others.

ADDICTION

As noted earlier, drug and alcohol addiction are covered under the Section 504 regulation. The regulation, however, protects rights of "qualified" handicapped people and this term implies limitations on what is expected of employers or institutions providing services. In regard to addiction, an employer is not required to change performance or behavioral standards regarding past work performance, or disruptive, abusive, or dangerous behavior, even if these actions stem from a person's alcoholism or drug addiction.

Nothing in the regulation prohibits a school from applying its rules concerning use of drugs and alcohol to students with addiction problems just as it would to other students, as long as the rules apply equally to all students. Schools or colleges may apply their standards of performance to alcohol and drug problems as they would apply them in any other case.

PART III. RULES AND REGULATIONS FOR SECTION 504 OF THE REHABILITATION ACT OF 1973, AS AMENDED

§ 81.1 Purpose.
The purpose of this part is to effectuate section 504 of the Rehabilitation Act of 1973, which is designed to eliminate discrimination against handicapped persons on the basis of handicap in any program or activity receiving Federal financial assistance.

§ 81.2 Application.
This part applies to each recipient of Federal financial assistance from the Department of Health, Education, and Welfare and to each program or activity that receives or benefits from such assistance.

§ 81.3 Definitions.

(b) "Section 504 means section 504 of the Act.


(d) "Department" means the Department of Health, Education, and Welfare.

(e) "Director" means the Director of the Office for Civil Rights of the Department.

(f) "Recipient" means any state or its political subdivision, any instrumentality of a state or its political subdivision, any public or private agency, institution, organization, or other entity, or any person to which the Federal Government provides or otherwise makes available any financial assistance.

(g) "Applicant for assistance" means one who submits an application, request, or plan required to be approved by a Department official or by a recipient as a condition to becoming a recipient.

(h) "Federal financial assistance" means any grant, loan, contract (other than a procurement contract or a contract of insurance or guarantee), or any other arrangement by which the Department provides or otherwise makes available any financial assistance in the form of:

(1) Funds;

(2) Services of Federal personnel;

(3) Real and personal property or any interest in or use of such property, including:

(i) Transfers or lease of such property for less than fair market value or for reduced consideration; and

(ii) Proceeds from a subsequent transfer or lease of such property if the Federal share of its fair market value is not reflected in the reduced consideration; and

(iii) "Facility" means all or any portion of buildings, structures, equipment, roads, walks, parking lots, or other real or personal property or interest in such property.

(i) "Handicapped person." (1) "Handicapped persons" means any person who (i) has a physical or mental impairment which substantially limits one or more major life activities, (ii) has a record of such an impairment, or (iii) is regarded as having such an impairment.

(2) As used in paragraph (j) of this section, the phrase:

(a) "Physical or mental impairment" means (A) any physiological disorder or condition that substantially limits one or more physical or mental functions such as caring for one's self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and moving, and (B) any mental or psychological disorder, such as mental retardation, organic brain syndrome, emotional or mental illness, and specific learning disabilities.

(b) "Major life activities" means functions such as caring for one's self, performing manual tasks, walking, seeing, hearing, speaking, breathing, learning, and moving, and.

(c) "Has a record of such an impairment" means has a history of, or has been classified as having, a mental or physical impairment that substantially limits one or more major life activities.

(d) "Is regarded as having an impairment" means has a history of, or has been classified as having, a mental or physical impairment that substantially limits major life activities only as a result of the attitudes of others toward such impairment;

(e) "Qualified handicapped person" means a handicapped person who meets the essential eligibility requirements for entry into a program or activity.

(f) "Vocational education services" means a program or activity that is designed to produce the essential functions of the job in question.

(g) "Is regarded as having an impairment" means (A) has a physical or mental impairment that does not substantially limit major life activities but that is treated by a recipient as constituting such a limitation; (B) has a physical or mental impairment that substantially limits major life activities only as a result of the attitudes of others toward such impairment; or (C) has none of the impairments defined in paragraph (j) (1) (I) (ii) (ii) (ii) of this section but is treated by a recipient as having such an impairment.

(h) "Qualified handicapped person" means:

(1) With respect to employment, a handicapped person who, with reasonable accommodation, can perform the essential functions of the job in question;

(2) With respect to public school programs, the second, secondary, and adult educational services, a handicapped person (i) of an age during which nonhandicapped persons are provided such services, (ii) of any age during which it is mandatory under State law to provide such services to handicapped persons, or (iii) to whom a State is required to provide such services under provisions of the Education of the Handicapped Act; and

(3) With respect to postsecondary and vocational education services, a handicapped person who, with reasonable accommodation, can perform the academic and technical standards requisite to admission or participation in the recipient's education program or activity.

(4) With respect to other services a handicapped person who meets the essential eligibility requirements for the receipt of such services.

(5) "Handicap" means any condition or characteristic that renders a person a handicapped person as defined in paragraph (j) of this section.

§ 81.4 Discrimination prohibited.
(a) General. No qualified handicapped person shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity which receives or benefits from Federal financial assistance.

(b) Discriminatory actions prohibited.
(1) A recipient, in providing any aid, benefit, or service, may not discriminate on the basis of handicap.

(2) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(3) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(4) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(5) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(6) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(7) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(8) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(9) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(10) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(11) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(12) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(13) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.

(14) A recipient may not discriminate on the basis of handicap in providing any aid, benefit, or service to handicapped persons.
pate in such programs or activities that are not separate or different.

(3) Rules of pay or any other form of compensation and changes in compensation?

(4) Job assignments, job classifications, organizational structures, position descriptions, criteria for promotion, and seniority lists.

(5) Leaves or absence, sick leave, or any other leave.

(6) Fringe benefits available by virtue of employment, whether or not administered by the recipient.

(7) Selection and placement support for training, including apprenticeship, professional training, conferences, and other related activities, and selection for leaves of absence to pursue training.

(8) Employer-sponsored activities, including social or recreational programs.

(9) Any other term, condition, or privilege of employment.

(10) An obligation to comply with this subpart is not affected by any inconsistent term of any collective bargaining agreement to which it is a party.

§ 81.12 Reasonable accommodation.

(a) A recipient shall make reasonable accommodation to the known physical of mental limitations of otherwise qualified handicapped employee or employee unless the recipient can demonstrate that the accommodation would impose an undue hardship on the operation of its program.

(b) Reasonable accommodation may include: (1) making facilities used by employees readily accessible to and usable by handicapped persons; and (2) job restructuring, part-time or modified work schedules, acquisition or modification of equipment or devices, the provision of readers or interpreters, and other similar actions.

(c) In determining pursuant to paragraph (a) whether an accommodation would impose an undue hardship on the operation of a recipient's program, factors to be considered include:

(1) The overall size of the recipient's program with respect to number of employees, number and type of facilities, and size of budget.

(2) The type of the recipient's operations, including the composition and structure of the recipient's workforce.

(3) The nature and cost of the accommodation needed.

(d) A recipient may not deny any employment opportunity to a qualified handicapped employee or employee if the basis for the denial is the need to make reasonable accommodation to the physical or mental limitations of the employee or applicant.

§ 81.13 Employment criteria.

(a) A recipient may not make use of any employment test or other selection criterion that screens out or tends to screen out or handicap persons or any class of handicapped persons.

(1) The test score or other selection criterion, as used by the recipient, is shown to be job related for the position in question, and (2) alternative job-related tests or criteria that do not screen out or tend to screen out or handicap persons or any class of handicapped persons are not shown by the Director to be available.

(b) A recipient shall select and administer tests concerning employment so as to ensure that tests are administered to an applicant or employee who has a handicap that impairs sensory, manual, or speaking skills, the test results accurately reflect the applicant's or employee's job skills, aptitude, or whatever other factor the test purports to measure, rather than reflecting the applicant's or employee's impaired sensory, manual, or speaking skills, and the test results are based upon those skills that are the factors that the test purports to measure.

§ 81.14 Preemployment inquiries.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination or may not make preemployment inquiry of an applicant as to whether the applicant is handicapped, as is otherwise prohibited by this part.

(b) When a recipient is taking remedial action to correct the effects of past discrimination pursuant to § 84.6(b), or when a recipient is taking affirmative action pursuant to section 503 of the Act, the recipient may conduct preemployment inquiries into an applicant's ability to perform job-related functions.

(c) Nothing in this section shall prohibit a recipient from conditioning an offer of employment on the result of an examination conducted pursuant to § 84.6(b), or when a recipient is taking affirmative action pursuant to section 503 of the Act, the recipient may conduct preemployment inquiries into an applicant's ability to perform job-related functions.

(d) Any other term, condition, or privilege of employment.

§ 81.15 Employee records.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination or may not make those inquiries as to whether the applicant is handicapped, as is otherwise prohibited by this part.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination or may not make those inquiries as to whether the applicant is handicapped, as is otherwise prohibited by this part.

(c) Any other term, condition, or privilege of employment.

§ 81.16 Employment eligibility.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.17 Employment training.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.18 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.19 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.20 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.21 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.22 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.23 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.24 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.25 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.26 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.27 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.

§ 81.28 Employment opportunities.

(a) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(b) Except as provided in paragraphs (b) and (c) of this section, a recipient may not conduct a preemployment medical examination.

(c) Any other term, condition, or privilege of employment.
work or duties of handicapped persons and regarding necessary accommo-
3, First aid and safety personnel may be informed, where appropriate, if
and necessary to provide relevant information upon request.
§ 81.15—§ 81.20 [Reserved]
Subpart C—Program Accessibility
§ 81.21 Discrimination prohibited
No qualified handicapped person shall, because a recipient's facilities are
incapacities, denied the benefits of being excluded from participation in, or
otherwise be subjected to discrimination under any program or activity to which
this part applies.
§ 81.22 Existing facilities
(a) Program accessibility. A recipient shall provide a public or private program or activity to which this part applies so that the program or activity, when viewed in its entirety, is readily accessible to handicapped persons. This paragraph does not require a recipient to make each of its existing facilities or every part of a facility accessible to and usable by handicapped persons.
(b) Methods. A recipient may comply with the requirement of paragraph (a) of this section through such means as redesign of equipment, reassignment of classes or other services to accessible buildings, assignment of aides to beneficiaries, home visits, delivery of health, welfare, or other social services at alternative accessible sites, alteration of existing facilities and construction of new facilities in conformance with the requirements of §84.23, or any other methods that result in making its program or activity accessible to handicapped persons. A recipient is not required to make structural changes in existing facilities where other methods are effective in achieving compliance with paragraph (a) of this section. In choosing among available methods for meeting the requirement of paragraph (a) of this section a recipient shall give priority to those methods that offer programs and activities to handicapped persons in the most integrated setting appropriate.

Subpart D—Preschool, Elementary, and Secondary Education
§ 81.31 Application of this subpart.
Subpart D applies to preschool, elementary, secondary, and adult education programs and activities that receive or benefit from federal financial assistance and to recipients that operate, or that receive or benefit from federal financial assistance for the operation of, such programs or activities.
§ 81.32 Location and notification.
A recipient that operates a public elementary or secondary education program shall annually:
(a) Use its best efforts to identify and locate every qualified handicapped person residing in the recipient's jurisdiction who is not receiving a public education, and
(b) Take reasonable steps to notify handicapped persons and their parents or guardians of the recipient's duty under this subpart.
§ 81.33 Free appropriate public education.
(a) General. A recipient that operates a public elementary or secondary education program shall provide a free appropriate public education to each qualified handicapped person who is in the recipient's jurisdiction, regardless of the nature or severity of the person's handicap.
(b) Appropriate education. (1) For the purpose of this subpart, the provision of an appropriate education is the provision of regular or special education and related aids and services that are appropriate, as well as reasonably necessary, to permit handicapped persons and their parents or guardian to benefit from education. The recipient shall take into account the nature, extent, and severity of the handicapped person's handicap, the extent to which the handicap affects the handicapped person, and the effect of the handicap on the handicapped person in his or her home, educational, or other setting. The recipient shall ensure that handicapped persons are provided with the most appropriate educational setting for their needs, and that the services and facilities provided to handicapped persons are as integrated as possible into programs and activities provided to others. The recipient shall ensure that the content of the education programs and services provided to handicapped persons is determined by the recipient and the handicapped person or his or her parents or guardian, and that the educational program provided to each handicapped person is an appropriate one. The recipient shall ensure that handicapped persons receive the appropriate educational benefit from the program provided to them. The recipient shall provide each handicapped person with the appropriate educational benefit from the program provided to them.
(b) Free education. (1) General. For the purpose of this section the provision of a free education is the provision of educational and related services without cost to the handicapped person or to his or her parents or guardian. In no case shall the recipient provide a free education to a handicapped person in any manner that is not normal to the recipient's methods of making its program or activity available to the handicapped person and the person's parents or guardian. If the recipient provides a free education to a handicapped person in any manner that is not normal to the recipient's methods of making its program or activity available to the handicapped person and the person's parents or guardian, the recipient shall provide the same educational benefit to the handicapped person in any manner that is normal to the recipient's methods of making its program or activity available to the handicapped person and the person's parents or guardian.
§ 81.31 Educational settings.
(a) Academic setting. A recipient to which this subpart applies shall provide a free appropriate public education to each qualified handicapped person in any manner that is normal to the recipient's methods of making its program or activity available to handicapped persons and their parents or guardian. In no case shall the recipient provide a free education to a handicapped person or his or her parents or guardian in any manner that is not normal to the recipient's methods of making its program or activity available to handicapped persons and their parents or guardian. If the recipient provides a free education to a handicapped person in any manner that is not normal to the recipient's methods of making its program or activity available to handicapped persons and their parents or guardian, the recipient shall provide the same educational benefit to the handicapped person in any manner that is normal to the recipient's methods of making its program or activity available to the handicapped person and the person's parents or guardian.
(b) Nonacademic setting. In providing or arranging for the provision of nonacademic and extracurricular services and activities, including meals, recess periods, and other social services, a recipient shall ensure that every handicapped person is provided a free appropriate public education, regardless of the nature, extent, and severity of the handicapped person's handicap. The recipient shall ensure that every handicapped person is provided a free appropriate public education, regardless of the nature, extent, and severity of the handicapped person's handicap. A recipient shall ensure that handicapped persons who are not handicapped to the maximum extent appropriate to his or her educational environment are provided with the same educational benefit from the program provided to them as handicapped persons who are not handicapped to the maximum extent appropriate to his or her educational environment.
(c) Comparable facilities. If a recipient, in compliance with paragraph (a) of this section, operates a facility that is identifiable as being for handicapped persons, the recipient shall ensure that the facility and the services and activities provided therein are comparable to the recipient's other programs and activities.
the other facilities, services, and activities of the recipient.

§ 81.33 Evaluation and placement.
(a) Preplacement evaluation A recipient that operates a public elementary or secondary education program shall conduct an evaluation in accordance with the requirements of paragraphs (b) and (c) of this section or periodic reevaluation of any person who, because of handicap, need or are believed to need special education or related services, a system of procedures that includes notice, an opportunity for the parents or guardian of the person to examine relevant records, an impartial hearing with opportunity for participation by the person's parents or guardian and representation by counsel, and a review procedure in accordance with the procedural safeguards of § 81.61 of the Education of the Handicapped Act is one means of meeting this requirement.

§ 81.35 Evaluation and placement.
(a) Preplacement evaluation A recipient that operates a public elementary or secondary education program shall conduct an evaluation in accordance with the requirements of paragraph (b) of this section or periodic reevaluation of any person who, because of handicap, need or are believed to need special education or related services before taking any action with respect to the individual or the placement of the person in a regular or special education program and any subsequent significant change in placement.

(b) Reevaluation A recipient to which this subpart applies shall establish standards and procedures for the evaluation and placement of persons who, because of handicap, need or are believed to need special education or related services which ensure that

Tests are selected and administered so as best to ensure that, when a test is administered to a student with impaired sensory, manual, or speaking skills, the test results accurately reflect the student's aptitude or achievement level or whatever other factor the test purports to measure, rather than reflecting the student's impaired sensory, manual, or speaking skills (except where those skills are the factors that the test purports to measure).

(c) Placement procedures In preparing and evaluating data and in making placement decisions, a recipient shall (1) draw upon information from a variety of sources, including aptitude and achievement tests, other evaluations, physical condition, social or cultural background, and adaptive behavior, (2) establish procedures to ensure that information obtained from all such sources is documented and carefully considered, (3) ensure that the placement decision is made by a group of persons, including persons knowledgeable about the child, the meaning of the evaluation data, and the placement options, and (4) ensure that the placement decision is made in conformity with § 81.36.

(d) Reevaluation A recipient to which this section applies shall establish procedures, in accordance with paragraph (b) of this section, for periodic reevaluation of students who have been provided special education and related services. A reevaluation procedure consistent with the Education of the Handicapped Act is one means of meeting this requirement.

§ 81.36 Procedural safeguards.
A recipient that operates a public elementary or secondary education program shall establish and implement, with respect to actions regarding the identification, evaluation, or educational placement of persons who, because of handicap, need or are believed to need special instruction or related services, a system of procedures that includes notice, an opportunity for the parents or guardian of the person to examine relevant records, an impartial hearing with opportunity for participation by the person's parents or guardian and representation by counsel, and a review procedure compliance with the procedural safeguards of § 81.61 of the Education of the Handicapped Act is one means of meeting this requirement.

§ 81.37 Admissions and recruitment.
(a) General Qualified handicapped persons who are not handicapped, or any claim of handicap unless (I) the test or criterion, as used by the recipient, has been validated as a predictor of success in the education program or activity, (ii) alternate tests or criteria that have a less disproportionate, adverse effect are not shown by the Director to be available; and
(b) Admissions A recipient administering its admission policies, a recipient to which this subpart applies:
(1) May not apply limitations upon the number or proportion of handicapped persons who may be admitted; and
(2) May not make use of any test or criterion for admission that has a disproportionate, adverse effect on handicapped persons unless (I) the test or criterion, as used by the recipient, has been validated as a predictor of success in the education program or activity, or (ii) alternate tests or criteria that have a less disproportionate, adverse effect are not shown by the Director to be available.

§ 81.38 Preschool and adult education programs.
A recipient to which this subpart applies shall establish procedures to ensure that a preschool or adult education program or activity may not, on the basis of handicap, exclude qualified handicapped persons from such program or activity, or take other action with respect to such program or activity that will tend to modify or limit the participation of such persons. A recipient shall take such steps as it deems necessary to account the needs of such persons in determining the aids, benefits, or services to be provided under the program or activity.

§ 81.39 Private education programs.
(1) A recipient that operates a private elementary or secondary education program may not, on the basis of handicap, exclude qualified handicapped person from such program if the person can, with minor adjustments, be provided an appropriate education, as defined in § 83.33(b)(1), within the recipient's program.
(2) A recipient to which this section applies may not charge more for the provision of an appropriate education to handicapped persons than to nonhandicapped persons except to the extent that such additional charge is justified by a substantial increase in cost to the recipient.
(3) A recipient to which this section applies that offers education programs shall operate such programs in accordance with the provisions of §§ 84.35 and 84.36. Each recipient to which this section applies is subject to the provisions of §§ 84.34, 84.37 and 84.38.

§ 84.41 Application of this subpart.
Subpart E—Postsecondary Education
§ 84.42 Admissions and recruitment.
(a) General Qualified handicapped persons who are not handicapped, or any claim of handicap, be denied admission or be subjected to discrimination in admission or recruitment by a recipient to which this subpart applies:
(1) May not apply limitations upon the number or proportion of handicapped persons who may be admitted; and
(2) May not make use of any test or criterion for admission that has a disproportionate, adverse effect on handicapped persons unless (I) the test or criterion, as used by the recipient, has been validated as a predictor of success in the education program or activity, or (ii) alternate tests or criteria that have a less disproportionate, adverse effect are not shown by the Director to be available.

(3) Shall assure itself that (i) admission tests are selected and administered so as best to ensure that, when a test is administered to an applicant who has a handicap that impairs sensory, manual, or speaking skills, the test results accurately reflect the applicant's aptitude or achievement level or whatever other factor the test purports to measure, rather than reflecting the applicant's impaired sensory, manual, or speaking skills (except where those skills are the factors that the test purports to measure); (ii) admissions tests that are designed for persons with impaired sensory, manual, or speaking skills are offered as often and in as timely a manner as are other admissions tests; and (iii) admissions tests are administered in facilities that, on the whole, are accessible to handicapped persons.

(4) Except as provided in paragraph (c) of this section, may not make predisciplinary or postdisciplinary adverse effects of past discrimination pursuant to § 84.6(a) or when a recipient is taking voluntary action to overcome the effects of conditions that are not hospitable to handicapped persons or have existed in its federally assisted program or activity pursuant to § 84(b), the recipient may invite applicants for admission to indicate whether and to what extent they are handicapped. Provided, That

(1) The recipient states clearly on any written questionnaire used for this purpose or makes clear orally if no written questionnaire is used" that the information requested is intended for use solely in connection with its remedial action obligation or its voluntary action obligation.

(2) The recipient states clearly that the information is being requested on a voluntary basis, that it will be kept confidential, that it is refused to provide it will not to subject the applicant to any adverse treatment and that it will be used only in accordance with this Part.

(3) Validity studies For the purpose of paragraph (b) (2) of this section, a recipient may base prediction equations on first year grades, but shall conduct periodic studies at such intervals as may be necessary to determine the overall success in the education program or activity in question in order to monitor the general validity of the test scores.
PART III—SECTION 504. RULES AND REGULATIONS

§ 81.13 Treatment of students generally.

(a) No qualified handicapped student shall be excluded from participation in, or be denied the benefits of, or otherwise be subjected to discrimination under any academic, research, occupational training, housing, health, insurance, counseling, special aid, physical education, athletics, recreation, transportation, other extracurricular, or other postsecondary education program or activity to which this subpart applies.

(b) A recipient to which this subpart applies that considers participation by students in education programs or activities not operated by the recipient as part of, or equivalent to, an education program or activity operated by the recipient shall assure itself that the other education program or activity, as a whole, provides an equal opportunity for the participation of qualified handicapped persons.

(c) A recipient to which this subpart applies may not, on the basis of handicap, exclude any qualified handicapped student from any course, course of study, or other part of its education program or activity.

(d) A recipient to which this subpart applies shall operate its programs and activities in the most integrated setting appropriate.

§ 81.14 Academic adjustments.

(a) Academic requirements: A recipient to which this subpart applies shall make such modifications to its academic requirements as are necessary to ensure that such requirements do not discriminate on the basis of handicap. The recipient shall assure itself that the other education program or activity, as a whole, provides an equal opportunity for the participation of qualified handicapped persons.

(b) Other programs and activities: A recipient that provides housing to its nonhandicapped students shall provide comparable and accessible housing to handicapped students. The recipient shall assure itself that the department of living accommodations is, as a whole, comparable to that of nonhandicapped students.

§ 81.15 Housing.

(a) Housing provided by the recipient: A recipient that provides housing to its nonhandicapped students shall provide comparable and accessible housing to its handicapped students.

(b) Other housing: A recipient that offers other housing A recipient that offers other housing shall be comparable to other housing available in quantity and variety so that the scope of handicapped students' choice of living accommodations is, as a whole, comparable to that of nonhandicapped students.

§ 81.16 Financial and employment assistance to students.

(a) Provision of financial assistance: A recipient to which this subpart applies may, in providing financial assistance to qualified handicapped persons, provide less assistance than is provided to nonhandicapped persons if it is necessary to assure that such housing is, as a whole, comparable to other housing available in sufficient quantity and variety so that the scope of handicapped students' choice of living accommodations is, as a whole, comparable to that of nonhandicapped students.

(b) Other requirements: A recipient that assists any agency, organization, or person in providing housing to or by handicapped students that may present obstacles to handicapped students, shall take steps to assure that such housing is, as a whole, comparable to other housing available in sufficient quantity and variety so that the scope of handicapped students' choice of living accommodations is, as a whole, comparable to that of nonhandicapped students.

§ 81.17 Other rule.

A recipient to which this subpart applies may impose upon handicapped students other rules, such as the prohibition of tape recorders in classrooms or of dog guides in campus buildings, that have the effect of discriminating on the basis of handicap.

§ 81.18 Applicants to which this subpart applies generally.

(a) Physical education and athletics: (1) A recipient that offers physical education courses and athletics and similar programs and activities to any of its students, a recipient to which this subpart applies may not discriminate on the basis of handicap. A recipient that offers physical education courses or that operates its programs or activities in the most integrated setting possible, shall assure itself that qualified handicapped students are given an equal opportunity for participation in these activities.

(b) Recipients may offer to handicapped students physical education and athletic activities that are separate or different only if separation or differentiation is consistent with the requirements of § 84.3(d) and only if no qualified handicapped student is denied an opportunity to compete for spots or to participate in courses that are not separate or different.

(c) Counseling and placement services: A recipient to which this subpart applies that provides personal, academic, or vocational counseling, guidance, or placement services to its students shall provide these services without discrimination on the basis of handicap. The recipient shall assure that qualified handicapped students are not counseled toward more restrictive vocational or educational objectives than are nonhandicapped students with similar interests and abilities. This requirement does not preclude a recipient from providing factual information about licensing and certification requirements that may present obstacles to handicapped persons in their pursuit of particular careers.

(d) Social organizations: A recipient that provides significant assistance to fraternities, sororities, or similar organizations shall assure that social organization practices of such organizations do not permit discrimination otherwise prohibited by this subpart.

SUBPART D—PRE-SCHOOL, ELEMENTARY, AND SECONDARY EDUCATION

Subpart D sets forth requirements for non discrimination in preschool, elementary, secondary, and adult education programs and activities, including secondary vocational education programs and activities, under each of the terms "adult education" and "elementary education." Subpart D applies to state and local educational agencies, to institutions of higher education, and to institutions of adult education that receive federal funds. Subpart D requires that no education program or activity that receives federal assistance shall discriminate against qualified handicapped persons on the basis of handicap.

(a) Assistant in making arrangements for outside employment: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(b) Assistance in making arrangements for outside employment: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(c) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(d) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(e) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(f) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(g) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(h) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(i) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(j) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(k) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(l) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(m) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(n) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(o) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(p) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.

(q) Policies and procedures: A recipient to which this subpart applies, including secondary vocational education programs and activities, shall assure that qualified handicapped persons are not discouraged from participating in programs and activities that receive federal assistance.
POSTSECONDARY STUDENT TERMINOLOGY

Subpart E—Postsecondary Education

Subpart E prescribes requirements for nondiscrimination in admissions to, and participation in postsecondary education programs and activities. It includes vocational education and the recruitment of students in postsecondary educational institutions.

Proposed § 84.43, which would have allowed discrimination on the basis of handicap in postsecondary educational institutions, was widely misinterpreted in comments from the public and was deleted in the final regulation. We have concluded that the section is unnecessary, and it has been deleted.

Under § 84.43(d), a recipient must ensure that no handicapped student is subject to discrimination in the recipient's program by ensuring equal opportunities to handicapped students in education programs and activities that are not operated by the recipient. The recipient must be satisfied that the outside education program or activity is nondiscriminatory. For example, a college must ensure that discrimination on the basis of handicap does not occur in connection with teaching assignments of student teachers, and that the student teaching program, when viewed in its entirety, offered handicapped students the same teaching and job opportunities as nonhandicapped students.

Paragraph (d) requires postsecondary institutions to operate their programs and activities so that handicapped students are afforded nonhandicapped students. This includes ensuring that academic adjustments and academic requirements that are essential to its program of instruction or to a particular degree program are provided to handicapped students. Recipients are not required to maintain complete braille libraries.

Section 84.65(a) requires postsecondary institutions to provide housing to handicapped students at the same cost as they provide it to other students and in a convenient, accessible, and comparable manner. The regulation also requires that the institution notify the handicapped student of the availability of housing and encourage the student to apply to live in the housing. The institution must provide housing in a manner that does not discriminate against the handicapped student.

Section 84.65(b) requires postsecondary institutions to provide housing to handicapped students in a manner that does not discriminate against the handicapped student. The regulation also requires that the institution notify the handicapped student of the availability of housing and encourage the student to apply to live in the housing. The institution must provide housing in a manner that does not discriminate against the handicapped student.

Section 84.65(c) requires postsecondary institutions to provide housing to handicapped students in a manner that does not discriminate against the handicapped student. The regulation also requires that the institution notify the handicapped student of the availability of housing and encourage the student to apply to live in the housing. The institution must provide housing in a manner that does not discriminate against the handicapped student.

Section 84.65(d) requires postsecondary institutions to provide housing to handicapped students in a manner that does not discriminate against the handicapped student. The regulation also requires that the institution notify the handicapped student of the availability of housing and encourage the student to apply to live in the housing. The institution must provide housing in a manner that does not discriminate against the handicapped student.

Section 84.65(e) requires postsecondary institutions to provide housing to handicapped students in a manner that does not discriminate against the handicapped student. The regulation also requires that the institution notify the handicapped student of the availability of housing and encourage the student to apply to live in the housing. The institution must provide housing in a manner that does not discriminate against the handicapped student.

Section 84.65(f) requires postsecondary institutions to provide housing to handicapped students in a manner that does not discriminate against the handicapped student. The regulation also requires that the institution notify the handicapped student of the availability of housing and encourage the student to apply to live in the housing. The institution must provide housing in a manner that does not discriminate against the handicapped student.

Section 84.65(g) requires postsecondary institutions to provide housing to handicapped students in a manner that does not discriminate against the handicapped student. The regulation also requires that the institution notify the handicapped student of the availability of housing and encourage the student to apply to live in the housing. The institution must provide housing in a manner that does not discriminate against the handicapped student.
PART III—SECTION 504: RULES AND REGULATIONS

not required, however, to provide specialized services and aids to handicapped persons in health programs. For example, a college infirmary treats only simple disorders such as cuts, bruises and colds. Its obligation to handicapped persons is to treat such disorders for them.

34 Financial assistance. Section 84 46(a) (formerly § 84 47), prohibiting discrimination in providing financial assistance, remains substantively the same. It provides that recipients may not provide less assistance to or limit the eligibility of qualified handicapped persons for such assistance, whether the assistance is provided directly by the recipient or by another entity through the recipient's sponsorship. Awards that are made under wills, trusts, or similar legal instruments in a discriminatory manner are permissible, but only if the overall effect of the recipient's provision of financial assistance is not discriminatory on the basis of handicap.

It will not be considered discriminatory to deny, on the basis of handicap, an athletic scholarship to a handicapped person if the handicap renders the person unable to qualify for the award. For example, a student who has a neurological disorder might be denied a varsity football scholarship on the basis of his inability to play football, but a deaf person could not, on the basis of handicap, be denied a scholarship for the school's diving team. The deaf person could, however, be denied a scholarship on the basis of comparative diving ability.

Commenters on § 84 46(b), which applies to assistance in obtaining outside employment for students, expressed similar concerns to those raised under § 84 43(b), concerning cooperative programs. This paragraph has been changed in the same manner as § 84 43(b) to include the "as a whole" concept and will be interpreted in the same manner as § 84 43(b). 35 Nonacademic services. Section 84 47 (formerly § 84 48) establishes nondiscrimination standards for physical education and athletics counseling and placement services and social organizations. This section sets the same standards as does § 84 38 of Subpart D discussed above, and will be interpreted in a similar fashion.
Appendix L

ACTIVITIES RELATED TO THE DEVELOPMENT OF THE HANDBOOK

HANDBOOK DEVELOPMENT PROCEDURES

This handbook is the result of a carefully planned cooperative effort. Work on the project involved hundreds of persons representing all types of sponsors and providers of postsecondary education in background research and the actual development of the handbook.

The first stage of preparation consisted of a review of numerous predecessor handbooks and systems as well as data collection instruments. Concurrently, meetings were held with representatives of Federal and State agencies, national professional organizations, and postsecondary institutions. At these meetings guidance was sought concerning the scope and content of the handbook, and the nature and extent of participation appropriate for various agencies, organizations, and institutions.

A further result of these meetings and continued staff research was a report entitled Postsecondary Education Policy Issues and Related Standard Terminology Needs, which contained a narrative review of important themes and problems which appear in the literature, an articulation of specific issue questions, a discussion of the relationship between terms found in typical student records and other institutional files, and a proposed outline for the handbook.

A National Planning Committee, consisting of representatives of nine national associations and NCES, was created to provide guidance and serve as the chief advisory group throughout the development of the handbook. Also formed was a General Review Panel composed of persons representing or affiliated with national professional organizations to review materials and provide feedback. These organizations were chosen to provide representation from a broad spectrum within the postsecondary community.

The Planning Committee's first meeting took place in July 1975 and centered on a review of the initial draft of the handbook the Preliminary Work Draft. The general concepts and basic structure of the handbook were approved at the meeting, and recommendations for specific changes were adopted. This draft was also sent to approximately 120 persons comprising the General Review Panel. Based upon feedback from this Panel and on the guidance of the Planning Committee, Draft 1 was produced.

The Planning Committee next met in November 1975 to review Draft 1 on a page-by-page basis, and to consider procedures proposed for the handbook's field review. Recommendations made at this meeting guided the preparation of Preliminary Draft 2.

Field review activities were designed as a two stage procedure. First preliminary recommendations on the handbook's overall organization and content were obtained by mail from 40 persons specifically selected for...
this task. Eight persons from this group were selected to review Preliminary Draft 2 (Pretest Edition) in a meeting in April 1976 with Planning Committee members. These persons considered comments from the pretest field review as they further refined the handbook. In the second step, the revision Final Draft 2 (Field Review Edition) was distributed by mail to over 200 persons for their review and recommendations. Participating in this review were the Field Review Panel, Planning Committee, General Review Panel, NASFAA Ad Hoc Committee, and AACRAO Ad Hoc Committee (see pages 169-177 for names of individual participants).

Responses from this large group of reviewers were recorded and analyzed by project staff. This compilation was submitted to the Technical Review Group—a committee composed of selected members of the Planning Committee and the Pretest Field Review Panel—which met in July 1976 to consider the suggestions and comments submitted by field reviewers and to offer guidance regarding the implementation of these recommendations. Based on the results of the Technical Review Group meeting, Draft 3 of the manual was prepared.

Throughout the early months of 1977, Draft 3 was field tested at carefully selected State and Federal agencies and postsecondary institutions, including public and private colleges and universities, and at a variety of vocational and technical training schools (see pages 178-182 for list of sites and individual participants). The field test was designed to elicit comments and specific recommendations from on-site practitioners and users of student data. Prior to visiting each agency or institution, project staff obtained and analyzed relevant data collection instruments from each site, comparing local information items with those in the handbook so as to discuss the manual more meaningfully with individual participants.

This same draft was distributed also to the more than 200 persons who had received Draft 2. The comments obtained as a result of this field test were compiled and analyzed, providing the basis for preparing Preliminary Draft 4. The Planning Committee met for the last time in April 1977 to consider this draft and make final recommendations. Final Draft 4 was completed, incorporating agreed-upon changes, and submitted to NCES in July 1977. Subsequently, the issues still remaining were resolved by the Project Officer with the assistance of affected parties.

### REVIEW OF EXISTING TERMINOLOGY BASE

A major stream of activity in preparation for the development of this handbook involved the examination of many existing handbooks, glossaries, dictionaries, and reports to ensure extensive consideration of current concepts and terminology regarding postsecondary education and postsecondary students. In addition, relevant data collection instruments were reviewed from all sectors of postsecondary education, including Federal agencies. Terms and definitions were then extracted from these documents to be considered for inclusion in this handbook in accordance with the criteria in Chapter 1.

Among the major documents reviewed during the project's developmental phase were the following publications:

1. The student portion of the Data Element Dictionary.
2. Definitions of Student Personnel Terms in Higher Education.
3. Relevant portions of the NCES National Postsecondary Education Data Base Directory.
4. The student section and other pertinent parts of the Education Data Elements Dictionary.
5. Data element dictionaries of postsecondary educational institutions (e.g., those of the Illinois Community College System, California State...)

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In collecting other materials for consideration in the development of this manual, an extensive search and review was made of data collection instruments and appropriate data element and glossary publications dealing with postsecondary educational institutions and topics. Among these documents were the survey forms of the NCES' Higher Education Surveys Branch. Especially important were the data collection instruments of the Higher Education General Information Survey (HEGIS), particularly the following forms for reporting data about students:

- OE Form 2300-2, 1. Degrees and Other Formal Awards Conferred,
- OE Form 2300-2 3. Opening Fall Enrollment in Higher Education,
- OE Form 2300-2 8. Residence and Migration of College Students,
- OE Form 2300-2, 9. Upper Division and Post-Baccalaureate Enrollment by Degree Field, and
- OE Form 2300-8 Adult/Continuing Education Activities in Institutions of Higher Education.

Incorporated as an integral part of the HEGIS surveys of degrees and enrollment by degree field is A Taxonomy of Instructional Programs in Higher Education.9 The subject areas or disciplines classified in this publication were used as descriptors for enrollments and degrees awarded in higher education.

Other significant documents considered during the development of the manual were those of the Adult and Vocational Surveys Branch of NCES. Some of the numerous publications screened were: Participation in Adult Education, 1969, Final Report (OE 75-165),10 Preliminary Manual About Adult/Continuing Education (unpublished),11 Guidelines for Identifying, Classifying, and Serving the Disadvantaged and Handicapped Under the Vocational Education Amendments of 1968 (OE 73-1700),12 Vocational Education Characteristics of Students and Staff, 1972 (NCES 74-169),13 and Schools for Careers - An Analysis of Occupational Courses Offered by Secondary and Postsecondary Schools, 1971 (NCES 75-160).14

Another significant series of documents which were reviewed are the handbooks of the State Educational Records and Reports Series, coordinated by NCES, which are designed to facilitate and improve the communication of educational information about various aspects of education, especially in elementary and secondary schools.

Handbook V, Revised, Student/Pupil Accounting,15 covers terms and definitions about students in elementary/secondary education, adult/continuing education, and community/junior colleges. Accordingly,

9California State University and Colleges Enrollment Reporting System Transmittal 5 and Data Element Dictionary (Los Angeles: California State University, August 1974).
11Victor C. Gide et al., Terminology About Adult/Continuing Education: A Preliminary Structure and a Suggested Development Process (Boston, November 1971) Draft for discussion only.
the terms and definitions in this handbook may be 
communicated, with appropriate safeguards for con-
identiality, among secondary and postsecondary 
educational institutions, testing services, and govern-
mental agencies, as a means of providing information 
about students' identity, characteristics, and perform-
ance at the secondary level.

Handbook VI, Standard Terminology for Curriculum 
and Instruction in Local and State School Systems, presents 
terms and definitions for describing curriculum 
and instruction in elementary and secondary 
schools, junior colleges, and adult education. Thus, the 
terms and definitions in Handbook VI may be used to 
describe the instructional activities of secondary edu-
cation students preparing to enter postsecondary educational institutions, and of some students already 
enrolled in postsecondary educational institutions, par-
icularly those in vocational and technical programs.

Among other relevant handbooks in the State Edu-
cational Records and Reports Series are Handbook VII, 
The State Education Agency (1971), which provides 
terminology and guidance for recording and reporting 
information about education agencies at the State 
level, and Handbook X, Educational Technology, with 
terminology and guidance for recording and re-
porting information about the delivery of instruction 
at all institutional levels.

ANALYSIS OF ISSUES IN 
POSTSECONDARY EDUCATION

Planners and policymakers in postsecondary educa-
tion today are faced with a rapid evolution of theories 
and concepts within their field. This climate of change 
brings problems of curricular reorganization, clashes 
between national goals and local capabilities, and, in 
time of economic restrictions, competition for funds.

Many issues arise from consideration of the funda-
mental question "For whom is postsecondary educa-
tion available?" Postsecondary education was once 
viewed largely as a system serving those young people 
with academic qualifications, ability, and sufficient 
financial resources. In recent years, however, students 
entering postsecondary education institutions have not 
fit into this mold. In response to this series of develop-
ments, new kinds of delivery systems have been intro-
duced. Institutions have expanded their program 
offerings, adjusted admissions policies, and actively 
sought out "nontypical" students.

A result of this change has been new questions 
relevant to the issues being faced. The need for better 
information which is more timely, complete, accurate, 
and understandable has therefore increased.

Some of the major issues confronting administrators 
and planners in postsecondary education at the time of 
this writing are:

1. Equality of opportunity and access to postsec-
ondary education,
2. Restructuring of the educational system,
3. Coalescence of educational program content and 
employment requirements to meet national man-
power needs,
4. Establishment of financial responsibility for 
postsecondary education, and
5. Fulfillment of the goal of providing adequate 
programming in continuing education.

In the early stages of the project culminating in 
the publication of this manual, each of these issues 
led to an inventory of information needs or "typical 
reports" which provide essential data about the 
issues. Issue-related items and terms were extracted 
from these "reports." This analysis of information needs resulted in the consideration of specific information items for their incorporation into the handbook. Most of the resulting data items ultimately were included, and the appropriateness of their use may be considered by decision-
making and policymaking groups and individuals at all 
administrative levels.

16John P. Putnam and W. Dale Chishmore, Standard Termi-
nology for Curriculum and Instruction in Local and State 
School Systems: State Educational Records and Reports 
Series Handbook VI, U.S. Department of Health, Education, 
17Yuell Y. Harris and Ivan N. Seibert, The State Educa-
tion Agency A Handbook of Standard Terminology and a 
Guide for Recording and Reporting Information About State 
Education Agencies: State Educational Records and Report 
Series Handbook VII, U.S. Department of Health, Education, 

18Ivan N. Seibert, Educational Technology A Handbook 
of Standard Terminology and a Guide for Recording and Reporting Information About Educational Technology State 
Educational Records and Reports Series Handbook X, U.S. 

19Government Studies & Systems, Inc., Postsecondary 
Education Policy Issues and Related Standard Terminology 
Needs A report prepared for the National Center for Educa-
tion Statistics, 1980. Submitted to the Educational Resources 
Information Center (ERIC).
# Appendix M

## ABBREVIATIONS AND ACRONYMS USED IN THE HANDBOOK

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AACRAO</td>
<td>American Association of Collegiate Registrars and Admissions Officers</td>
</tr>
<tr>
<td>B.A.</td>
<td>Bachelor of Arts</td>
</tr>
<tr>
<td>M.Div., M.H.I.</td>
<td>Theological professions (Master of divinity and master of Hebrew letters)</td>
</tr>
<tr>
<td>CEU</td>
<td>Continuing education unit</td>
</tr>
<tr>
<td>CLEP</td>
<td>College Level Examination Program</td>
</tr>
<tr>
<td>D.B.A.</td>
<td>Doctor of business administration</td>
</tr>
<tr>
<td>D.D.S.</td>
<td>Doctor of dental surgery</td>
</tr>
<tr>
<td>D.Eng.</td>
<td>Doctor of engineering</td>
</tr>
<tr>
<td>D.E.S.</td>
<td>Doctor of engineering science</td>
</tr>
<tr>
<td>D.M.A.</td>
<td>Doctor of musical arts</td>
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<tr>
<td>D.M.D.</td>
<td>Doctor of dental medicine</td>
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<tr>
<td>D.O.</td>
<td>Doctor of osteopathic medicine</td>
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<tr>
<td>D.P.M.</td>
<td>Doctor of podiatric medicine</td>
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<tr>
<td>D.V.M.</td>
<td>Doctor of veterinary medicine</td>
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<tr>
<td>Ed.D.</td>
<td>Doctor of education</td>
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<tr>
<td>Ed.S.</td>
<td>Education specialist</td>
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<td>EdSTAT</td>
<td>Educational Statistics Information Access System</td>
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<td>EEOC</td>
<td>Equal Employment Opportunity Commission</td>
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<tr>
<td>FERPA</td>
<td>Family Educational Rights and Privacy Act</td>
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<tr>
<td>FICE</td>
<td>Federal Interagency Committee on Education</td>
</tr>
<tr>
<td>GAO</td>
<td>General Accounting Office</td>
</tr>
<tr>
<td>GEPA</td>
<td>General Education Provisions Act</td>
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<tr>
<td>HIGIS</td>
<td>Higher Education General Information Survey</td>
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<tr>
<td>INS</td>
<td>United States Immigration and Naturalization Service</td>
</tr>
<tr>
<td>J.D.</td>
<td>Juris doctor</td>
</tr>
<tr>
<td>LL.B.</td>
<td>Bachelor of laws</td>
</tr>
<tr>
<td>LLM.</td>
<td>Master of laws</td>
</tr>
<tr>
<td>M.B.A.</td>
<td>Master of business administration</td>
</tr>
<tr>
<td>M.D.</td>
<td>Doctor of medicine</td>
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<tr>
<td>M.Ed.</td>
<td>Master of education</td>
</tr>
<tr>
<td>M.F.A.</td>
<td>Master of fine arts</td>
</tr>
<tr>
<td>M.M.</td>
<td>Master of music</td>
</tr>
<tr>
<td>M.P.A.</td>
<td>Master of public administration</td>
</tr>
<tr>
<td>M.S.W.</td>
<td>Master of social work</td>
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<tr>
<td>NASFAA</td>
<td>National Association of Student Financial Aid Administrators</td>
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<tr>
<td>NCES</td>
<td>National Center for Education Statistics</td>
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<tr>
<td>NCFPE</td>
<td>National Commission for Financing Postsecondary Education</td>
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<tr>
<td>NCHEMS</td>
<td>National Center for Higher Education Management Systems</td>
</tr>
<tr>
<td>OCR</td>
<td>Office for Civil Rights (HEW)</td>
</tr>
<tr>
<td>O.D.</td>
<td>Doctor of optometry</td>
</tr>
<tr>
<td>OMB</td>
<td>Office of Management and Budget</td>
</tr>
<tr>
<td>SOC</td>
<td>Standard Occupational Classification System</td>
</tr>
<tr>
<td>USAFI</td>
<td>United States Air Force Institute</td>
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</table>

Note: Appendix L and I list abbreviations for States, countries, dependencies, and areas of special sovereignty.
Appendix N

INDIVIDUAL CONTRIBUTIONS TO THE DEVELOPMENT OF THE HANDBOOK

This handbook is the result of a cooperative effort involving the National Center for Education Statistics, Government Studies & Systems, Inc. (contractor for the project), and hundreds of individuals who lent their expertise in postsecondary education to help review and refine the handbook throughout the 3 years of its development. This latter group of participants represented the viewpoints of all sectors of postsecondary education, including institutions, professional organizations, and Federal, State, and local governmental agencies.

The contractor's project staff working on this handbook included Jerome Ackerman, Project Director; Timothy A. Rock, Information Systems Data Analyst; Doran J. Twer, Educational Data Analyst; Susan Mair, Operations Analyst; and Roger L. Sisson, Special Systems Consultant. Consultants to the contractor's staff included Dr. Edmond Weiss, Associate Dean of the Annenberg School of Communications, University of Pennsylvania, Dr. Robert Peck, State of Oregon Educational Coordinating Council, and Dr. Morton Margules, Superintendent, Hudson County Area Vocational Technical Schools, Hudson County, New Jersey.

The individuals cited in this appendix include those who participated in the project's formal review procedures. Sincere appreciation is expressed for their many significant contributions. Special gratitude is extended to the members of the Planning Committee who served as the primary advisory group throughout the project.

The acknowledgments which follow generally indicate titles and organizational affiliations as of the time of participation in the project.

PLANNING COMMITTEE

The Planning Committee consisted of representatives from nine national organizations and the National Center for Education Statistics (NCES). This group provided guidance to NCES and the contractor throughout the project in refining procedures for the project and in developing the scope, format, and content of the handbook. In addition to participating in the Planning Committee's four meetings, members were called upon on numerous occasions for their advice and assistance.

Mr. Charles Andersen
Coordinator of Education Statistics
American Council on Education
Washington, D.C.
(American Council on Education—committee member beginning January 1, 1977)  
Mr. Carroll Bennett
Director, Career Education Division
Des Moines Area Community College
Ankeny, Iowa
(American Vocational Association)
POSTSECONDARY STUDENT TERMINOLOGY

Mr. John Burdick  
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Grossmont College  
El Cajon, Calif.  
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Dr. Clark Cahow  
University Registrar  
Duke University  
Durham, N.C.  
(American Association of Collegiate Registrars and Admissions Officers)

Dr. Robert Calvert, Jr.  
Chief  
Adult and Vocational Education Surveys Branch  
Washington, D.C.  
(National Center for Education Statistics—committee member beginning June 1976)

Ms. Sandra Drake  
Associate for Data Information Services  
American Association of Community and Junior Colleges  
Washington, D.C.  
(American Association of Community and Junior Colleges)

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Dr. Edith Huddleston  
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Higher Education Surveys Branch  
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American Council on Education  
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Dr. Robert Wallhaus  
Deputy Director  
National Center for Higher Education Management Systems  
Boulder, Colo.  
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INDEX

This index is an alphabetical listing of terms, categories, synonyms, and references to specific information contained in the narrative portions of this handbook. Index entries are listed as they appear in the handbook and/or by key word to facilitate location. In addition:

- multiple choice response categories generally are listed in the index only if they are defined in chapter 2, and
- information items for each data element are not referenced in the index; they are listed with the terms in chapter 2, and are also found in tabular format in appendix A.

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