

# Postsecondary Student Terminology

National  
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Statistics



# Postsecondary Student Terminology:

A Handbook of Terms and Definitions for  
Describing Students in Postsecondary Education

by

John F. Putnam

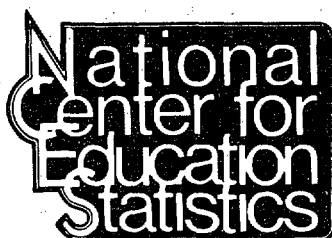
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“The purpose of the Center shall be to collect and disseminate statistics and other data related to education in the United States and in other nations. The Center shall . . . collect, collate, and, from time to time, report full and complete statistics 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

# ACKNOWLEDGMENTS

Grateful acknowledgment is expressed for contributions made to the handbook by representatives of the following organizations:<sup>1</sup>

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

Adult Education Association of the United States of America  
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  
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 Universities 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  
National Vocational Guidance Association (APGA)  
State Higher Education Executive Officers Association

<sup>1</sup>The names of participating individuals are listed in appendix N.

## POSTSECONDARY STUDENT TERMINOLOGY

### Federal Agencies that participated in the development and review of project materials:

<p>ACTION (education programs)          Bureau of Indian Affairs, Department of Interior          Bureau of Labor Statistics, Department of Labor          Bureau of the Census, Department of Commerce          Council of Economic Advisors          Department of Health, Education, and Welfare          (HEW) Audit Agency          Employment and Training Administration, Department of Labor          Fair Information Practices Staff, HEW          Federal Interagency Committee on Education, HEW          Health Resources Administration, HEW          Immigration and Naturalization Service Department of Justice          Law Enforcement Assistance Administration, Department of Justice          National Center for Education Statistics, HEW          National Institute of Education, HEW          National Institutes of Health, HEW</p>	<p>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</p>
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### Organizations and Agencies that provided field test sites:

<p>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</p>	<p>Ohio State Department of Education, Division of Vocational Education          The Ohio State University          Pennco 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</p>
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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 ele-

ments, 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 in-

tended 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.<sup>1</sup> 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 needed also 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),

<sup>1</sup>For example, educational researchers and policymakers can obtain timely statistics concerning education in the United States through EDSTAT. Operated by 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.

- 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.<sup>2</sup> 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;

<sup>2</sup>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.

- 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.<sup>3</sup>

A *postsecondary student*, for purposes of this handbook, is defined as a person for whom 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<sup>4</sup> 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.

<sup>3</sup>While this handbook is designed to provide descriptors 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.

<sup>4</sup>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

Classification Structure	Data Elements Defined on Pages Numbered	Information Items Classified on Pages Numbered
<b>1 DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS</b>	<b>(12-29)</b>	<b>(80-87)</b>
11      PERSONAL IDENTIFICATION AND CHARACTERISTICS	12-22	81-83
12      RESIDENCE	22-24	84
13      EDUCATIONAL/OCCUPATIONAL ASPIRATIONS	24-25	85
14      FINANCIAL INFORMATION	26-29	86-87
<b>2 STUDENT'S EDUCATIONAL EXPERIENCE</b>	<b>(32-61)</b>	<b>(88-99)</b>
21      INSTITUTIONAL IDENTIFICATION	32-33	89
22      ADMISSIONS	33-36	90
23      FINANCING STUDENT'S POST-SECONDARY EDUCATION	36-43	91-93
24      REGISTRATION	43-51	94-95
25      PARTICIPATION/PERFORMANCE	51-59	96-98
26      TERMINATION	60-61	99
<b>3 STUDENT'S EMPLOYMENT EXPERIENCE</b>	<b>(63-69)</b>	<b>(100-102)</b>
31      EMPLOYMENT EXPERIENCE	63-66	101
32      U.S. MILITARY SERVICE EXPERIENCE	66-69	102

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.<sup>5</sup> 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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<sup>5</sup>Government Studies & Systems, Inc., *Postsecondary Education Policy Issues and Related Standard Terminology Needs*. A report prepared for the National Center for Education Statistics, 1980. Submitted to the Educational Resources Information Center (ERIC).

## 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, or 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 determine 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:

- redundancy of definitions is 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-



fiers, namely "student," "spouse," "female parent," "male parent," and "parents," the possessive is used when these qualifiers are part of an information item (e.g., "student's," "spouse's"). The institutional qualifiers ("secondary," "previous postsecondary," "current postsecondary") are included as part of qualifying phrases, such as "at current postsecondary institution." The qualifiers "previous" and "current" generally are not changed or modified when used as part of an information item.

## 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<sup>1</sup>

*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<sup>2</sup>

*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.

<sup>1</sup>Where 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.

<sup>2</sup>See 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.

**FIGURE 2A—LIST OF DATA ELEMENTS: DEMOGRAPHIC AND BIOGRAPHICAL CHARACTERISTICS**

Data Element	Defined on page	Data Element	Defined on page
11	<b>PERSONAL IDENTIFICATION AND CHARACTERISTICS</b>	12	<b>RESIDENCE</b>
11 01	NAME	12 01	ADDRESS
11 01 10	Legal Name	12 01 10	Permanent Address
11 01 20	Any Other Name	12 01 20	Legal Address
11 02	BIRTHDATE	12 01 30	Local Address
11 03	BIRTHPLACE	12 02	TYPE OF HOUSING
11 04	DATE OF DEATH	12 03	RESIDENCY STATUS
11 05	RACIAL/ETHNIC GROUP	12 04	DISTANCE BETWEEN LOCAL ADDRESS AND POSTSECONDARY INSTITUTION
11 06	SEX		
11 07	COUNTRY OF CITIZENSHIP	13	<b>EDUCATIONAL/OCCUPATIONAL ASPIRATIONS</b>
11 08	CITIZENSHIP STATUS (within U.S.)	13 01	OBJECTIVES IN ATTENDING POSTSECONDARY EDUCATION INSTITUTION
11 09	SOCIAL SECURITY NUMBER	13 02	HIGHEST FORMAL AWARD SOUGHT
11 10	STUDENT IDENTIFICATION NUMBER	13 03	CAREER/OCCUPATION ASPIRATION
11 11	RELATIONSHIP TO STUDENT		
11 12	HIGHEST LEVEL OF EDUCATION COMPLETED	14	<b>FINANCIAL INFORMATION</b>
11 13	OCCUPATION CATEGORY	14 01	TOTAL PERSONAL INCOME
11 14	PROFESSIONAL CERTIFICATION/LICENSURE(S)	14 01 10	Earnings
11 15	PROFICIENCY WITH ENGLISH	14 01 20	Government Benefits
11 16	PRIMARY LANGUAGE	14 01 30	Income From Other Sources
11 17	OTHER LANGUAGE(S) IN WHICH PROFICIENT	14 02	FAMILY INCOME
11 18	MARITAL STATUS	14 03	ADJUSTED GROSS INCOME
11 19	DEPENDENCY STATUS	14 04	ASSETS
11 19 10	Number of Dependents	14 04 10	Type of Asset
11 19 20	Number of Dependents in Post-secondary Education Institutions	14 04 20	Current Market Value of Asset
11 20	<b>HANDICAP CATEGORY</b>	14 05	<b>LIABILITIES</b>
11 20 00.10	Visually Handicapped	14 05 10	Type of Debt
11 20 00.20	Hearing Handicapped	14 05 20	Amount of Debt
11 20 00.30	Deaf-Blind	14 06	<b>NET WORTH</b>
11 20 00.40	Orthopedically Handicapped		
11 20 00.50	Other Health Handicapped		
11 20 00.60	Speech Handicapped		
11 20 00.70	Mentally Handicapped		
11 20 00.80	Multihandicapped		
11 21	<b>SPECIAL ASSISTANCE NEEDS</b>		

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.

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<sup>3</sup>**

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**

<sup>3</sup>See appendix B, pages 103-107, for a discussion of alternatives for recording and reporting RACIAL/ETHNIC GROUP.

## Demographic and Biographical Characteristics—Continued

### 11 PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

#### 11 06 SEX—Continued

##### 11 06 00.02 Female

Information Item:

— Student's Sex

#### 11 07 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

#### 11 08 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.

11 08 00.01 **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.

.02 **Immigrant (Permanent Resident)** — An alien<sup>4</sup> 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.

.03 **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.

.04 **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.

.05 **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

<sup>4</sup>An alien is a person who is not a citizen or national of the U.S.

11 08 00.05

**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.

.06

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

.09

**Other Type of Citizenship Status (Specify)**

Information Item:

— Student's Citizenship Status

11 09

**SOCIAL SECURITY NUMBER**

The number assigned to a person by the U.S. Social Security Administration.<sup>5</sup>

Information Items:

- Student's Social Security Number
- Female Parent's Social Security Number
- Male Parent's Social Security Number
- Spouse's Social Security Number

11 10

**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)

11 11

**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**

11 11 00.01

**Father**

.02

**Stepfather**

.03

**Legal Male Guardian (other than father or stepfather)**

.04

**Foster Father**

.49

**Other Relationship (specify)**

<sup>5</sup>Federal, 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.)

## Demographic and Biographical Characteristics—Continued

### 11 PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

#### 11 11 RELATIONSHIP TO STUDENT—Continued

##### Female Parent

11 11 00.51	<b>Mother</b>
.52	<b>Stepmother</b>
.53	<b>Legal Female Guardian (other than mother or stepmother)</b>
.54	<b>Foster Mother</b>
.99	<b>Other Relationship (specify)</b>

##### Information Items:

- Female Parent's Relationship to Student
- Male Parent's Relationship to Student

#### 11 12 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.

11 12 00.01	<b>No Formal Education</b>
.05	<b>Less Than Grade 8</b>
.08	<b>Grade 8</b>
.09	<b>Grade 9</b>
.10	<b>Grade 10</b>
.11	<b>Grade 11</b>
.12	<b>Grade 12, No Diploma</b>
.14	<b>Grade 12, Received High School Diploma</b>
.15	<b>Certificate of High School Equivalency</b>
.17	<b>Postsecondary Certificate or Diploma for Less Than 1 Year (equivalent to less than 1 year of full-time participation)<sup>6</sup></b>
.18	<b>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)<sup>6</sup></b>
.19	<b>Some College – No Certificate, Diploma, or Degree</b>
.21	<b>Associate Degree</b>
.22	<b>Bachelor's Degree</b>
.23	<b>First-Professional Degree</b>
.24	<b>Master's Degree</b>
.25	<b>Specialist's or Intermediate Degree</b>
.26	<b>Doctor's Degree</b>

##### 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

<sup>6</sup>Full-time participation (referred to in categories .17 and .18) is discussed on pages 109-110 of appendix B.



11 13

**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).<sup>7</sup> See pages 127-134 for the more detailed set of occupations in the SOC system.

11 13 00.11-14

**Executive, Administrative, and Managerial Occupations**

.15-16

**Engineers and Architects**

.17-18

**Natural Scientists and Mathematicians**

.19-21

**Social Scientists, Social Workers, Religious Workers, and Lawyers**

.22-25

**Teachers, Librarians, and Counselors**

.26-28

**Health Diagnosing and Treating Practitioners**

.29-30

**Registered Nurses, Pharmacists, Dietitians, Therapists, and Physician's Assistants**

.32-34

**Writers, Artists, Athletes, and Entertainers**

.36

**Health Technologists and Technicians**

.37-39

**Technologists and Technicians, Except Health**

.40-43

**Marketing and Sales Occupations**

.45-48

**Clerical Occupations**

.50-53

**Service Occupations**

.55-58

**Agricultural and Forestry Occupations, Fishers and Hunters**

.60-62

**Construction and Extractive Occupations**

.63-65

**Transportation and Material Moving Occupations**

.66-67

**Mechanics and Repairers**

.71-79

**Production Working Occupations**

.81-84

**Material Handlers, Equipment Cleaners, and Laborers**

.91

**Military Occupations**

.99

**Miscellaneous Occupations****Information Items:**

- Student's Occupation Category
- Female Parent's Occupation Category
- Male Parent's Occupation Category
- Spouse's Occupation Category

11 14

**PROFESSIONAL CERTIFICATION/LICENSURE(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

11 15

**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

<sup>7</sup>U.S. Department of Commerce, *Standard Occupational Classification Manual* (Washington, D.C.: U.S. Government Printing Office, 1977). Minor modifications for the Standard Occupational Classification System were being prepared at the time this handbook was in the publication process.

## Demographic and Biographical Characteristics—Continued

### 11 PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

#### 11 15 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.

11 15 00.01      **Proficient**  
                   .02      **Not Proficient**

Information Item:

— Student's Proficiency With English

#### 11 16 PRIMARY LANGUAGE

The language which a person uses and comprehends most easily.

11 16 00.01      **English**  
                   .02      **Other Than English (Specify)<sup>8</sup>**

Information Item:

— Student's Primary Language

#### 11 17 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.<sup>8</sup>

Information Item:

— Other Language in Which Student is Proficient

#### 11 18 MARITAL STATUS

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

11 18 00.10      **Unmarried**  
                   .11      ***Never Married***  
                   .12      ***Widowed***  
                   .13      ***Divorced***  
                   .20      **Married**  
                   .21      ***Spouse Present***  
                   .22      ***Spouse Absent***

Information Item:

— Student's Marital Status

<sup>8</sup>Codes for languages are included in part III of appendix G on page 126.

- 11 18 **Marital Status—Continued**  
 — Male Parent's Marital Status  
 — Female Parent's Marital Status

11 19 **DEPENDENCY STATUS<sup>9</sup>**

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.

- 11 19 00.01 **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.

- .02 **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.<sup>10</sup>

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.<sup>11</sup> 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

11 19 10 **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.

<sup>9</sup>These definitions of dependency status appearing in OE/BSFA regulations are expected to remain in effect at least through June 30, 1981.

<sup>10</sup>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.

<sup>11</sup>45 C.F.R. 192.2 (1978 ed).

## Demographic and Biographical Characteristics—Continued

### 11 PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

#### 11 19 DEPENDENCY STATUS—Continued

##### 11 19 10 Number of Dependents—Continued

Information Items:

- Number of Student's Dependents
- Number of Parents' Dependents

##### 11 19 20 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

### 11 20 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.<sup>12</sup>

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.

#### 11 20 00.10 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.

<sup>12</sup>Terms for handicap categories in this handbook are adapted from definitions in regulations for the Education for All Handicapped Children Act and Section 504 of the Rehabilitation Act of 1973, and from *Student/Pupil Accounting: Standard Terminology and Guide for Managing Student Data in Elementary and Secondary Schools, Community/Junior Colleges, and Adult Education*, State Educational Records and Reports Series: Handbook V, Revised, U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1974). Definitions for the two Acts are found in appendixes B and K on pages 108 and 149.

- 11 20 00.10      **Visually Handicapped—Continued**
- .11      *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.
- .12      *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.
- .21      *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.
- .22      *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.
- .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).
- .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.
- .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.

## Demographic and Biographical Characteristics—Continued

### 11 PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

#### 11 20 HANDICAP CATEGORY—Continued

##### 11 20 00.70 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.<sup>13</sup>

##### .80 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

### 11 21 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

### 12 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.

#### 12 01 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.

##### 12 01 10 Permanent Address

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

<sup>13</sup>See definitions in the Rehabilitation Act of 1973, page 108 of appendix B.

- 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.<sup>14</sup> (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*

<sup>14</sup>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.

## 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)<sup>15</sup>  
 .30 Out-of-Country (Specify)<sup>15</sup>

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)*

##### .20 Noncareer-Related Objective

- .21 *To participate in the education process itself*  
 .22 *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*

<sup>15</sup>Institutions may use the category "reciprocal residency agreement" to identify students from other States with which special reciprocal or 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, for standardized country codes.



## 13 01 00.20 Noncareer-Related Objective--Continued

- .27 *To gain entry into advanced education* (noncareer-related)  
 .29 *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

13 02 HIGHEST FORMAL AWARD SOUGHT<sup>16</sup>

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.

- 13 02 00.01 None  
 .14 High School Diploma  
 .15 Certificate of High School Equivalency  
 .17 Postsecondary Certificate or Diploma for Less Than 1 Year (equivalent to less than 1 year of full-time participation)<sup>17</sup>  
 .18 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)<sup>17</sup>  
 .21 Associate Degree  
 .22 Bachelor's Degree  
 .23 First-Professional Degree  
 .24 Master's Degree  
 .25 Specialist's or Intermediate Degree  
 .26 Doctor's Degree  
 .27 Other Degree (specify)  
 .99 Other Award (specify)

Information Item:

— Highest Formal Award Sought by Student

13 03 CAREER/OCCUPATIONAL ASPIRATION<sup>16</sup>

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

<sup>16</sup>The 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.

<sup>17</sup>Full-time participation (referred to in categories .17 and .18) is discussed on pages 109-110 of appendix B.

## Demographic and Biographical Characteristics — Continued

### 14 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.

.01 **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.).

.02 **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

14 01 20

**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

14 01 30

**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.

.02

**Net Rental Income** -- Money received (after expenses for maintenance and upkeep of property) as a result of renting real estate.

.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).

.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.

.05

**Private Welfare Payments**

.06

**Alimony or Child Support**

.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

14 02

**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

## Demographic and Biographical Characteristics—Continued

### 14 FINANCIAL INFORMATION—Continued

#### 14 03 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

#### 14 04 ASSETS

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

#### 14 04 10 Type of Asset

The nature or form of a person's assets.

- |             |   |
|-------------|---|
| 14 04 10.01 | <b>Cash, Savings, and Checking Accounts</b> |
| .02         | <b>Stocks, Bonds, and Other Securities</b>  |
| .03         | <b>Trust Accounts</b>                       |
| .04         | <b>Residence Equity</b>                     |
| .05         | <b>Equity in Other Real Estate</b>          |
| .06         | <b>Business Assets</b>                      |
| .07         | <b>Farm Assets</b>                          |
| .09         | <b>Other Assets</b>                         |

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

#### 14 04 20 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

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  
.02  
.09

**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**

Data Element	Defined on page	Data Element	Defined on page		
21	<b>INSTITUTIONAL IDENTIFICATION</b>	32	23 04 16	Amount of Financial Aid Authorized (to student)	41
21 01	NAME OF INSTITUTION	32	23 04 17	Amount of Financial Aid Received (by student)	41
21 02	ADDRESS OF INSTITUTION	32	23 04 20	Awards, Prizes, and Other Assistance (Non-Need-Based)	41
21 03	FICE CODE OR NCES NUMBER OF INSTITUTION	33	23 04 21	Name of Award, Prize, or Other Assistance	41
22	<b>ADMISSIONS</b>	33	23 04 22	Type of Award, Prize, or Other Assistance (Non-Need-Based)	42
22 01	APPLICATION FOR ADMISSION	33	23 04 23	Source of Award, Prize, or Other Assistance	42
22 01 10	Date Application for Admission Received	33	23 04 24	Control of Award, Prize, or Other Assistance	42
22 01 20	Requested Date of Entry	33	23 04 25	Amount Authorized for Award, Prize, or Other Assistance (to student)	43
22 02	GEOGRAPHIC ORIGIN (at time of admission)	34	23 04 26	Amount of Award, Prize, or Other Assistance Received (by student)	43
22 03	ADMISSIONS ACTION	34	24	<b>REGISTRATION</b>	43
22 03 10	Admission Decision	34	24 01	REGISTRATION STATUS	43
22 03 20	Date of Admission Decision Notification	35	24 01 10	Day/Evening Schedule	43
22 03 30	Approved Date of Admission	35	24 01 20	Formal Award Status	44
22 04	CANDIDATE DECISION	35	24 01 30	Student Load	44
22 05	CANDIDATE REPLY DATE	35	24 01 40	Program Completion Level	44
23	<b>FINANCING STUDENT'S POSTSECONDARY EDUCATION</b>	36	24 01 50	Student Level	45
23 01	COST OF POSTSECONDARY EDUCATION (to student)	36	24 01 60	Student Standing	45
23 01 10	Type of Postsecondary Education Expense	36	24 01 70	Transition Status	46
23 01 20	Amount of Postsecondary Education Expense	37	24 01 80	Beginning Date of Attendance	47
23 02	EXPECTED FAMILY CONTRIBUTION	37	24 01 90	Date of Registration	47
23 03	FINANCIAL NEED	38	24 02	ENROLLMENT STATUS	47
23 03 10	Amount of Financial Need	38	24 03	DEPARTMENT/DIVISION/SCHOOL	48
23 04	FINANCIAL ASSISTANCE	39	24 03 10	Name of Department/Division/School	48
23 04 10	Financial Aid (Need-Based)	39	24 04	PROGRAM OF STUDIES	48
23 04 11	Name of Financial Aid Program	39	24 04 10	Type of Program	48
23 04 12	Type of Financial Aid (Need-Based)	39	24 04 20	Major Field of Study	49
23 04 13	Source of Financial Aid	40	24 04 21	Major Field of Study—Standard Name	50
23 04 14	Selector of Recipient	40	24 04 22	Major Field of Study—Institutional Name	50
23 04 15	Control of Financial Aid	40	24 04 30	Minor Field of Study	50

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

Data Element	Defined on page	Data Element	Defined on page
24 04 31	Minor Field of Study—Standard Name 50	25 03 20	Grade-Point Average 54
24 04 32	Minor Field of Study—Institutional Name 51	25 03 30	Rank in Class 55
24 04 40	Length of Program 51	25 04	AWARD UNITS 55
24 04 50	Date of Expected Program Completion 51	25 04 10	Award Units Received for Course 55
		25 04 20	Award Units Accepted 56
		25 04 30	Total Award Units Accumulated 56
		25 04 40	Total Award Units Accumulated Toward Formal Award 56
25	<b>PARTICIPATION/PERFORMANCE</b> 51	25 04 50	Total Award Units Required for Completion of Program 56
25 01	<b>STANDARDIZED TEST</b> 51	25 05	<b>FORMAL AWARD</b> 56
25 01 10	Name(s) of Admission Test(s) 51	25 05 10	Formal Award Sought 58
25 01 20	Name(s) of Placement Test(s) 52	25 05 20	Formal Award Earned 58
25 01 30	Name(s) of Other Standardized Test(s) 52	25 05 30	Formal Award Date 59
25 01 40	Test Results 52	25 06	<b>ACADEMIC HONORS</b> 59
25 01 50	Date Test Was Administered 52		
25 02	<b>COURSE</b> 52	26	<b>TERMINATION</b> 59
25 02 10	Course Title 53	26 01	<b>TYPE OF TERMINATION</b> 59
25 02 20	Subject-Matter Area of Course 53	26 02	<b>STUDENT STANDING AT TIME OF TERMINATION</b> 60
25 02 30	Course Code 53	26 03	<b>REASON FOR TRANSFER/ WITHDRAWAL</b> 60
25 02 40	Length of Course 53	26 04	<b>DATE OF LAST ATTENDANCE</b> 61
25 02 50	Beginning Date of Course 53	26 05	<b>TERMINATION DATE</b> 61
25 02 60	Ending Date of Course 54		
25 02 70	Award Units for Course 54		
25 03	<b>GRADE (MARK)</b> 54		
25 03 10	Grade (Mark) Received for Course 54		

## 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.

### 21 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.

#### 21 01 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

#### 21 02 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



21 03

**FICE CODE OR NCES NUMBER OF INSTITUTION**

The Federal Interagency Committee on Education (FICE) code, or the National Center for Education Statistics (NCES) number<sup>18</sup> (an assigned number unique for a given institution or branch, which generally remains as an institutional identification number for the life 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

22

**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.

22 01

**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.

22 01 10

**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

22 01 20

**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

<sup>18</sup>As of 1980, NCES identification numbers were assigned by the Adult and Vocational Education Surveys Branch of NCES.

## Student's Educational Experience—Continued

### 22 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<sup>19</sup>

.30 Out-of-Country<sup>19</sup>

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.

<sup>19</sup>For analytical and/or reporting purposes, the State and/or political subdivision, or foreign country, may be detailed using the applicable codes listed on pages 119 and 121-123, respectively.

22 03 10.40      **Cancellation 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.

22 03 20      **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

22 03 30      **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

22 04      **CANDIDATE DECISION**

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

22 04 00.10      **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.

.20      **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.

.30      **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.

.40      **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 for Current Postsecondary Institution

22 05      **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.

## Student's Educational Experience—Continued

### 22 ADMISSIONS—Continued

#### 22 05 CANDIDATE REPLY DATE—Continued

Information Item:

— Candidate's Reply Date to Current Postsecondary Institution

### 23 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.

#### 23 01 COST OF POSTSECONDARY EDUCATION (TO STUDENT)

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

##### 23 01 10 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).

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 01 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)<sup>20</sup>** – 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.<sup>21</sup> (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)<sup>22</sup>** – 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.

<sup>20</sup>This is relevant only for a dependent student as defined on page 19.

<sup>21</sup>Notice of Proposed Rule Making, *Federal Register*, Vol. 44, No. 145 (Thursday, July 26, 1979), page 44100.

<sup>22</sup>This is relevant only to a student who is currently married.

## Student's Educational Experience—Continued

### 23 FINANCING STUDENT'S POSTSECONDARY EDUCATION—Continued

#### 23 02 EXPECTED FAMILY CONTRIBUTION—Continued

##### 23 02 00.30 Student's Share (of Expected Family Contribution)

- .31 *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.
- .32 *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.
- .33 *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.
- .34 *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.
- .40 *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

#### 23 03 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.

##### 23 03 10 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

23 04

**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).

23 04 10

**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.

23 04 11

**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

23 04 12

**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.

.01

**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 *ACADEMIC HONORS* on page 59.

.02

**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).

.03

**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.

.09

**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.

## Student's Educational Experience—Continued

### 23 FINANCING STUDENT'S POSTSECONDARY EDUCATION—Continued

#### 23 04 FINANCIAL ASSISTANCE—Continued

##### 23 04 13 Source of Financial Aid

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

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

Information Item:

- Source of Financial Aid at Previous Postsecondary Institution
- Source of Financial Aid at Current Postsecondary Institution

##### 23 04 14 Selector of Recipient

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

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

Information Items:

- Selector of Recipient at Previous Postsecondary Institution
- Selector of Recipient at Current Postsecondary Institution

##### 23 04 15 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.



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

**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 the 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

## Student's Educational Experience—Continued

### 23 FINANCING STUDENT'S POSTSECONDARY EDUCATION—Continued

#### 23 04 FINANCIAL ASSISTANCE—Continued

##### 23 04 22 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

##### 23 04 23 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

##### 23 04 24 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

23 04 25

**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

23 04 26

**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

24

**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.

24 01

**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.

24 01 10

**Day/Evening Schedule**

- .01 **Day Schedule** — The schedule of a student who attends the majority of his/her classes during the daytime hours (as defined by the institution).
- .02 **Evening Schedule** — The schedule of a student who attends the majority of his/her classes during the evening hours (as defined by the institution).
- .03 **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

### 24 REGISTRATION—Continued

#### 24 01 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.

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

.20 **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*.

.01 **Level 1** — 0-25 percent of program completed.

.02 **Level 2** — 26-50 percent of program completed.

.03 **Level 3** — 51-75 percent of program completed.

.04 **Level 4** — 76 percent or more of program completed.

Information Item:

— Program Completion Level at Current Postsecondary Institution

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

### 24 REGISTRATION—Continued

#### 24 01 REGISTRATION STATUS—Continued

#### 24 01 60 Student Standing—Continued

- .03 **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.
- .04 **Disciplinary Probation** — The status of a student resulting from unsatisfactory conduct apart from academic performance. The student remains enrolled, but under stated conditions.
- .05 **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.
- .06 **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.
- .09 **Other Student Standing (Specify)**

Information Item:

— Student Standing at Current Postsecondary Institution

#### 24 01 70

#### 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).

- .10 **New Student** — A student who has never attended the institution previously and will register or has registered for the first time.
- .11 **First-Time Postsecondary Student** — A new student who has no previous experience at the postsecondary educational level.
- .12 **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.
- .13 **Beginning Student** — A new student with previous postsecondary experience (on any level) who does not transfer award units into his/her current institution.
- .20 **Returning Student** — A student who has enrolled in the institution previously.
- .21 **Uninterrupted Attendance Student** — A returning student whose educational activities at the institution continue unbroken within the regular calendar system of the

- .21 ***Uninterrupted Attendance Student—Continued***  
institution. Normal vacation periods (i.e., summer vacations, holidays, or other institutionally-approved break periods) do not constitute breaks in attendance.
- .211 ***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.
- .212 ***Intrainstitutional 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).
- .22 ***Reinstated Student*** — A returning student who because of a leave-of-absence or suspension, had a break in attendance at the institution.
- .23 ***Readmitted Student*** — A returning student who terminated attendance at the institution previously and consequently has been required to be readmitted to the institution.

## Information Item:

— Transition Status at Current Postsecondary Institution

24 01 80

**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.

## Information Item:

— Beginning Date of Attendance at Current Postsecondary Institution

24 01 90

**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.

## Information Item:

— Date of Registration at Current Postsecondary Institution

24 02

**ENROLLMENT STATUS**

An indication of whether or not a person is registered in the institution and is enrolled or not to participate in the instructional activities of the institution on the institution's census date. Refer to page 110 for a discussion of cooperative (dual) enrollment.

24 02 00.01

**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.

.02

**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

### 24 REGISTRATION—Continued

#### 24 02 ENROLLMENT STATUS

##### 24 02 00.02 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.

.03 **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.

Information Item:

— Enrollment Status at Current Postsecondary Institution

#### 24 03 DEPARTMENT/DIVISION/SCHOOL

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

##### 24 03 10 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.

Information Item:

— Name of Department/Division/School at Current Postsecondary Institution

#### 24 04 PROGRAM OF STUDIES

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

##### 24 04 10 Type of Program<sup>23</sup>

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).

.01 **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,

<sup>23</sup>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.



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—as 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.<sup>24</sup>
- .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<sup>25</sup>**

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.

<sup>24</sup>The 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.

<sup>25</sup>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's Educational Experience—Continued

### 24 REGISTRATION—Continued

#### 24 04 PROGRAM OF STUDIES—Continued

##### 24 04 20 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.

##### 24 04 21 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*.<sup>26</sup> 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

##### 24 04 22 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

##### 24 04 30 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.

##### 24 04 31 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.<sup>26</sup> See page 125 for a listing of categories for minor field of study.

<sup>26</sup>Robert A. Huff and Marjorie O. Chandler, *A Taxonomy of Instructional Programs in Higher Education*, U.S. Department of Health, Education, and Welfare, Office of Education (Washington, D.C.: U.S., Government Printing Office, 1970); and John F. Putnam and W. Dale Chismore, *Standard Terminology for Curriculum and Instruction in Local and State School Systems*, State Educational Records and Reports Series: Handbook VI, U.S. Department of Health, Education, and Welfare, Office of Education (Washington, D.C.: U.S. Government Printing Office, 1970), chapter 5. In addition, a handbook of terms and definitions for instructional programs was under development by NCES as of January 1980.

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 PARTICIPATION/PERFORMANCE—Continued

#### 25 01 STANDARDIZED TEST—Continued

##### 25 01 20 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

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 Program (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 provided 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

### 25 PARTICIPATION/PERFORMANCE—Continued

#### 25 02 COURSE—Continued

#### 25 02 50 Beginning Date of Course—Continued

Information Items:

- Beginning Date of Course at Previous Postsecondary Institution
- Beginning Date of Course at Current Postsecondary Institution

#### 25 02 60 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 date.

Information Items:

- Ending Date of Course at Previous Postsecondary Institution
- Ending Date of Course at Current Postsecondary Institution

#### 25 02 70 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

#### 25 03 GRADE (MARK)

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

#### 25 03 10 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

#### 25 03 20 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.

25 03 20

**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

25 03 30

**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

25 04

**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*.

25 04 10

**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

### 25 PARTICIPATION/PERFORMANCE—Continued

#### 25 04 AWARD UNITS—Continued

#### 25 04 10 Award Units Received for Course—Continued

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

#### 25 04 20 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,<sup>27</sup> and various life experiences.

Information Item:

- Award Units Accepted at Current Postsecondary Institution

#### 25 04 30 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

#### 25 04 40 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

#### 25 04 50 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

#### 25 05 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.

<sup>27</sup>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.



- 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.<sup>28</sup>
- .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.<sup>28</sup>
- .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

<sup>28</sup>Full-time participation is discussed on pages 109-110.

## Student's Educational Experience—Continued

### 25 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 (LL.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.

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

### 26 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 | <b>Good Standing</b>            |
| .02         | <b>Academic Probation</b>       |
| .03         | <b>Academic Suspension</b>      |
| .04         | <b>Disciplinary Probation</b>   |
| .05         | <b>Disciplinary Suspension</b>  |
| .06         | <b>Leave of Absence</b>         |
| .09         | <b>Other Standing (Specify)</b> |

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 | <b>Physical Reason</b> — Physical illness, physical or sensory disability, pregnancy, or death.   |
| .02         | <b>Academic Reason</b> — 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         | <b>Social Reason</b> — 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         | <b>Economic (Financial) Reason</b> — 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         | <b>Reason Unknown (or Not Specified)</b>  |
| .09         | <b>Other Reason for Transfer/Withdrawal (Specify)</b> — 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

Data Element	Defined on page	Data Element	Defined on page		
31	<b>CIVILIAN EMPLOYMENT EXPERIENCE</b>	63	32	<b>U.S. MILITARY SERVICE EXPERIENCE</b>	66
31 01	<b>CIVILIAN EMPLOYMENT</b>	63	32 01	<b>MILITARY SERVICE</b>	66
31 01 10	Name of Employer	63	32 01 10	Branch of Military Service	67
31 01 20	Address of Employer	63	32 01 20	Military Status	67
31 01 30	Standard Industrial Classification (SIC) of Employer	63	32 01 30	Military Identification Number	67
31 01 40	Work Performed	64	32 01 41	Student's Primary Military Specialty Number and Title	67
31 01 50	Employment Status	64	32 01 42	Student's Additional Military Specialty Number and Title	68
31 01 60	Dates of Employment	65	32 01 50	Education-Related Military Experiences	68
31 01 70	Relationship of Job to Major Field of Study	65	32 01 61	Date Entered Active Duty	68
31 01 80	Hours Worked Weekly	65	32 01 62	Date Released From Active Duty	68
31 02	<b>EARNINGS RATE</b>	66	32 01 70	Rank at Separation	69
31 02 10	Hourly Wage Rate	66	32 01 80	Veteran's Status	69
31 02 20	Weekly Earnings Rate	66	32 01 90	Participation in Veterans' Educational Benefits	69
31 02 30	Monthly Earnings Rate	66			
31 02 40	Other Earnings Rate	66			
31 02 80	No Earnings	66			
31 02 90	Other Earnings	66			

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*<sup>29</sup> categorizes industries in the following general groupings. If further detail is required, it is recommended that the detailed classifications of the publication be utilized.

<sup>29</sup>National Bureau of Standards, *Standard Industrial Classification (SIC) Codes*, Federal Information Processing Standards (FIPS), Publication No. 66. (Washington, D.C.: National Bureau of Standards, U.S. Department of Commerce, 1979.)

## 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's Employment Experience—Continued

### 31 CIVILIAN EMPLOYMENT EXPERIENCE—Continued

#### 31 02 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.

#### 31 02 10 Hourly Wage Rate

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

#### 31 02 20 Weekly Earnings Rate

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

#### 31 02 30 Monthly Earnings Rate

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

#### 31 02 40 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.

#### 31 02 80 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).

#### 31 02 90 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

### 32 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.

#### 32 01 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

32 01 **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 eligibility 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 identify 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 occupational 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 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. (When needed, indicate the number and title in effect at the time of discharge.)

## Student's Employment Experience—Continued

### 32 U.S. MILITARY SERVICE EXPERIENCE—Continued

#### 32 01 MILITARY SERVICE—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.<sup>30</sup>

#### 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.

<sup>30</sup>The 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 (MOS's). 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.

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**
- .02 **Not Receiving Veterans' Educational Benefits**

## Information Item:

- Current Participation in Veterans' Educational Benefits

## Chapter 3

# DATA MANAGEMENT AND CONFIDENTIALITY OF POSTSECONDARY STUDENT DATA

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.<sup>1</sup> 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

as 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

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<sup>1</sup>Section 438 of the General Education Provisions Act (GEPA), as added by Section 513 of P.L. 93-380, as amended by P.L. 93-568. The Family Education Rights and Privacy Act of 1974—known as "The Buckley Amendment"—governs the management of students' education records by educational institutions and agencies which receive funds under programs administered by the Commissioner of Education.

The Act grants to eligible students and to students' parents access to certain education records, as provided by statute; generally limits the transferability of student records to third parties without the prior written consent of the eligible student or the parent; and gives to students and to their parents the opportunity to challenge the accuracy of information in these records, and to insert a written explanation of a challenge into their files regarding the content of the students' records.

As prescribed by FERPA, all rights accorded to or consent required of the parents are transferred to the eligible student, that is, a student who becomes 18 years old or who attends a postsecondary educational institution. Accordingly, in the postsecondary education context of this handbook, reference in this chapter is generally made to the (eligible) student(s), rather than to the parent(s) of the student(s). See parts I and II of appendix J for the complete texts of the Act and the applicable Federal regulations, 45 C.F.R. Part 99, respectively.

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,<sup>2</sup> 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.<sup>3</sup>

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.<sup>4</sup>

The remainder of this chapter is devoted to guidelines and procedures for safeguarding student education records<sup>5</sup>—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.

<sup>4</sup>Loc. cit.

<sup>5</sup>As 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.

<sup>2</sup>See U.S. Department of Health, Education, and Welfare, *Records Computers and the Rights of Citizens: Report of the Secretary's Advisory Committee on Automated Personal Data Systems* (Washington, D.C.: U.S. Government Printing Office, July 1973).

<sup>3</sup>Ibid., pp. 40-41.

## 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 those data will lead to erroneous or invalid conclusions. Ascertaining 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."<sup>6</sup>

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.<sup>7</sup> 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:<sup>8</sup>

SELECT	EXCLUDE
- only information which can assist the student with academic, personal, and occupational decisions,	- information judged irrelevant to the student's welfare.
- information of permanent or semipermanent value.	- inaccurate information.
- information required by State or Federal law.	- information of temporary value.
	- information which will not be used or is no longer needed.

<sup>6</sup>Russell Sage Foundation, *Student Records in Higher Education* (New York: Russell Sage Foundation, 1972), p. 5.

<sup>7</sup>See Russell Sage Foundation, pp. 5-18, for a suggested procedure designed to ensure the proper selection of student information items.

<sup>8</sup>John F. Putnam, *Student/Pupil Accounting: Standard Terminology and Guide for Managing Student Data in Elementary and Secondary Schools, Community/Junior Colleges, and Adult Education*. State Educational Records and Report Series: Handbook V, Revised, 1974, U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1974), p. 9. This chart summarizes some rules which may be useful for selecting and excluding student record items. These rules are not mutually exclusive nor are they limited to concerns for FERPA.

## 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.<sup>9</sup>
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.<sup>10</sup> 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.<sup>11</sup>
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).<sup>12</sup>

<sup>9</sup>45 C.F.R. 99.5(a)(1979) and 45 C.F.R. 99.6(1979).

<sup>10</sup>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), 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, relative 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.

<sup>11</sup>45 C.F.R. 99.11(1976).

<sup>12</sup>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 be 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).<sup>13</sup> 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.<sup>14</sup> Such a student request must be acted on by the institution within a reasonable period of time following the receipt of the request.<sup>15</sup> 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.<sup>16</sup>

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.<sup>17</sup> 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.<sup>18</sup> 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.<sup>19</sup> 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.<sup>20</sup>

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<sup>21</sup>

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.<sup>22</sup> Excluded from this category are applicants for admission who were not admitted, or, if

<sup>20</sup>The hearing requirements stated in this paragraph are given in 45 C.F.R.99.21(1979).

<sup>21</sup>This section is based upon FERPA and 45 C.F.R. subpart D of Part 99. The definition of the term "education record" appears in the footnote on page 72. Also see appendix J, page 138.

<sup>22</sup>Excluded from the student's right to access are those materials defined as other than education records, as well as certain education records, maintained at the postsecondary educational level, to which access by a student is not required. Refer to pages 75, 76, and appendix J for discussion of these limitations and exclusions.

<sup>13</sup>45 C.F.R.99.32(1979).

<sup>14</sup>45 C.F.R.99.5(a)(5) and 45 C.F.R. subpart C of Part 99.

<sup>15</sup>45 C.F.R.99.20(b)(1979).

<sup>16</sup>45 C.F.R.99.20(b) and (c).

<sup>17</sup>45 C.F.R.99.21(a)(1979).

<sup>18</sup>41 C.F.R.24666(June 17, 1979).

<sup>19</sup>The requirements for a hearing, as discussed on this page and on page 144, are given in 45 C.F.R.99.21 and 99.22.

admitted, who did not attend the institution.<sup>23</sup> 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.<sup>24</sup> 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 parties to whom the disclosure may be made.<sup>25</sup>

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.)<sup>26</sup> 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.<sup>27</sup> 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.<sup>28</sup> These exceptions are summarized below:<sup>29</sup>

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 education programs or in relation to the enforcement of, or in compliance with, the Federal legal requirements associated with these programs.<sup>30\*</sup>
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 conformance 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;

<sup>28</sup>45 C.F.R.99.30(1979) and section 99.37 and 99.31.

<sup>29</sup>45 C.F.R.99.31(1979) and 99.37(1976). Educational institutions and agencies should consult the Federal regulations for precise conditions under which disclosure may be made to the parties or for other reasons as stated above.

<sup>30</sup>Authorized representatives to whom disclosure must be made in these circumstances include the Comptroller General of the United States, the Secretary of the Department of Health, Education, and Welfare, the U.S. Commissioner of Education, the Director of the National Institute of Education, the Assistant Secretary for Education, the Administrator of Veterans' Affairs of the U.S. Veterans' Administration, and State educational authorities.

\*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.

<sup>23</sup>45 C.F.R.99.3(1979).

<sup>24</sup>45 C.F.R.99.30(a)(1) and 99.30(a)(2).

<sup>25</sup>45 C.F.R.99.30(c)(1979).

<sup>26</sup>45 C.F.R.99.3(1979).

<sup>27</sup>45 C.F.R.99.37(1979).

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.<sup>31</sup> 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.<sup>32</sup>

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.<sup>33</sup>

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.<sup>34</sup> 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.<sup>35</sup>

## 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. All 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

\*See note on page 75.

<sup>31</sup>45 C.F.R. 99.33(1979).

<sup>32</sup>*Ibid.*

<sup>33</sup>45 C.F.R. 99.32(1979).

<sup>34</sup>45 C.F.R. 99.32(c)(1979).

<sup>35</sup>45 C.F.R. 99.32(a)(1979).

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 to 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; and
- destroying record data no longer needed.

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; and
- 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.

## 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.<sup>1</sup>

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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<sup>1</sup>The 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
- Financial Information, p. 26.

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.

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

\*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—Continued

## I. PERSONAL IDENTIFICATION AND CHARACTERISTICS—Continued

Data Element \ Qualifier	Defined on Page	Student	Female Parent	Male Parent	Parents	Spouse
10. Student Identification Number	15	Student's Identification Number				Spouse's Student Identification Number (if in the same institution)
11. Relationship to Student	15		Female Parent's Relationship to Student	Male Parent's Relationship to Student		
12. Highest Level of Education Completed	16	Student's Highest Level of Education Completed	Female Parent's Highest Level of Education Completed	Male Parent's Highest Level of Education Completed		
13. Occupation Category	17	Student's Occupation Category	Female Parent's Occupation Category	Male Parent's Occupation Category		Spouses Occupation Category
14. Professional Certification/Licensure(s)	17	Student's Professional Certification/Licensure(s)				
15. Proficiency with English	17	Student's Proficiency with English				
16. Primary Language	18	Student's Primary Language				
17. Other Language in which Proficient	18	Other Language in which Student is Proficient				
18. Marital Status	18	Student's Marital Status*	Female Parent's Marital Status*	Male Parent's Marital Status*		

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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.



<b>Qualifier</b> <b>Data Element</b>	<b>Defined on Page</b>	<b>Student</b>	<b>Female Parent</b>	<b>Male Parent</b>	<b>Parents</b>	<b>Spouse</b>
19. Dependency Status	19	Student's Dependency Status*				
a. Number of Dependents	19	Number of Student's Dependents*			Number of Parents' Dependents*	
b. Number of Dependents in Postsecondary Education Institutions	20	Number of Student's Dependents in Postsecondary Education Institutions*			Number of Parents' Dependents in Postsecondary Education Institutions*	
20. Handicap Category	20	Student's Handicap Category				
a. Visually Handicapped	20					
b. Hearing Handicapped	21					
c. Deaf-Blind	21					
d. Orthopedically Handicapped	21					
e. Other Health Handicapped	21					
f. Speech Handicapped	21					
g. Mentally Handicapped	22					
h. Multihandicapped	22					
21. Special Assistance Needs	22	Student's Special Assistance Needs				

INFORMATION ITEM TABLES

\*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.

Data Element \ Qualifier	Defined on Page	Student	Female Parent	Male Parent	Parents	Spouse
1. Address	22					
a. Permanent Address	22	Student's Permanent Address			Parent's Permanent Address	
b. Legal Address	23	Student's Legal Address			Parents' Legal Address	
c. Local Address	23	Student's Local Address				
2. Type of Housing	23	Student's Type of Housing				
3. Residency Status	23	Student's Residency Status <sup>1</sup>				
4. Distance Between Local Address and Postsecondary Institution	24	Distance Between Student's Local Address and Postsecondary Institution				

<sup>1</sup>If 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.

<b>Data Element \ Qualifier</b>	<b>Defined on Page</b>	<b>Student</b>	<b>Female Parent</b>	<b>Male Parent</b>	<b>Parents</b>	<b>Spouse</b>
1. Objective in Attending Postsecondary Institution	24	Student's Objective in Attending Postsecondary Institution				
2. Highest Formal Award Sought	25	Highest Formal Award Sought by Student				
3. Career/Occupational Aspiration	25	Student's Career/Occupational Aspiration				

INFORMATION ITEM TABLES

# FIGURE A-1.—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.

Data Element \ Qualifier	Defined on Page	Student	Female Parent	Male Parent	Parents	Spouse
1. Total Personal Income	26	Student's Total Personal Income	Female Parent's Total Personal Income	Male Parent's Total Personal Income		Spouse's Total Personal Income
a. Earnings	26	Student's Earnings	Female Parent's Earnings	Male Parent's Earnings		Spouse's Earnings
b. Government Benefits	26	Student's Government Benefits	Female Parent's Government Benefits	Male Parent's Government Benefits		Spouse's Government Benefits
c. Income from Other Sources	26	Student's Income from Other Sources	Female Parent's Income from Other Sources	Male Parent's Income from Other Sources	Parent's Income from Other Sources	Spouse's Income from Other Sources
2. Family Income	27	Student's Family Income			Family Income of Parents.	
3. Adjusted Gross Income	28	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
4. Assets	28					
a. Type of Asset	28	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
b. Current Market Value of Asset	28	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

<b>Data Element \ Qualifier</b>	<b>Defined on Page</b>	<b>Student</b>	<b>Female Parent</b>	<b>Male Parent</b>	<b>Parents</b>	<b>Spouse</b>
<b>5. Liabilities</b>	29					
<b>a. Type of Debt</b>	29	Type of Student's Debt			Type of Parents' Debt	Type of Spouse's Debt
<b>b. Amount of Debt</b>	29	Amount of Student's Debt			Amount of Parents' Debt	Amount of Spouse's Debt
<b>6. Net Worth</b>	29	Student's Net Worth	Female Parent's Net Worth	Male Parent's Net Worth	Parents' Net Worth	Spouse's Net Worth

\*Information items 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).

Data Element \ Qualifier	Defined on Page	Secondary School (SS)	Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
1. Name of Institution	32	Name of SS	Name of PPI	Name of CPI	Name of SPI
2. Address of Institution	32	Address of SS	Address of PPI	Address of CPI	Address of SPI
3. FICE Code or NCES Number of Institution	33			FICE Code or NCES Number of CPI	

# 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.

Data Element \ Qualifier	Defined on Page	Secondary School (SS)	Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
1. Application for Admission	33				
a. Date Application for Admission Received	33			Date Application for Admission Received by CPI	
b. Requested Date of Entry	33			Requested Date of Entry to CPI	
2. Geographic Origin (At Time of Admission)	34			Student's Geographic Origin At Time of Admission to CPI	
a. Admission Decision	34			Admission Decision At CPI	
b. Date of Admission Decision Notification	35			Date of Admission Decision Notification At CPI	
c. Approved Date of Admission	35			Approved Date of Admission to CPI	
4. Candidate Decision	35			Candidate Decision for CPI	
5. Candidate Reply Date	35			Candidate's Reply Date to CPI	



## 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.

Data Element \ Qualifier	Defined on Page	Secondary School (SS)	Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
1. Cost of Postsecondary Education (To Student)	36				
a. Type of Postsecondary Education Expense	36			Type of Postsecondary Education Expense at CPI	
b. Amount of Postsecondary Education Expense	37			Amount of Postsecondary Education Expense at CPI	
2. Expected Family Contribution	37			Expected Family Contribution at CPI	
3. Financial Need	38				
a. Amount of Financial Need	38			Amount of Financial Need at CPI	
4. Financial Assistance (Need-based)	39				
a. Financial Aid	39				
(1) Name of Financial Aid Program	39		Name of Financial Aid Program at PPI	Name of Financial Aid Program at CPI	

\*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

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

POSTSECONDARY STUDENT TERMINOLOGY

\*This section applies only to financial aid applicants and/or recipients.

<b>Data Element</b> \ <b>Qualifier</b>	<b>Defined on Page</b>	<b>Secondary School (SS)</b>	<b>Previous Postsecondary Institution (PPI)</b>	<b>Current Postsecondary Institution (CPI)</b>	<b>Subsequent Postsecondary Institution (SPI)</b>
(2) Type of Award, Prize or Other Assistance	42		Type of Award, Prize or Other Assistance at PPI	Type of Award, Prize or Other Assistance at CPI	
(3) Source of Award, Prize or Other Assistance	42		Source of Award, Prize or Other Assistance at PPI	Source of Award, Prize or Other Assistance at CPI	
(4) Control of Award, Prize or Other Assistance	42		Control of Award, Prize or Other Assistance at PPI	Control of Award, Prize or Other Assistance at CPI	
(5) Amount Authorized for Award, Prize or Other Assistance to Student	43		Amount Authorized for Award, Prize or Other Assistance to Student at PPI	Amount Authorized for Award, Prize or Other Assistance to Student at CPI	
(6) Amount of Award, Prize or Other Assistance Received by Student	43		Amount of Award, Prize or Other Assistance Received by Student at PPI	Amount of Award, Prize or Other Assistance Received by Student at CPI	

INFORMATION ITEM TABLES

\*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.

Data Element \ Qualifier	Defined on Page	Secondary School (SS)	Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
1. Registration status	43				
a. Day/Evening Schedule	43			Day/Evening Schedule at CPI	
b. Formal Award Status	44			Formal Award Status at CPI	
c. Student Load	44			Student Load at CPI	
d. Program Completion Level	44			Program Completion Level at CPI	
e. Student Level	45			Student Level at CPI	
f. Student Standing	45			Student Standing at CPI	
g. Transition Status	46			Transition Status at CPI	
h. Beginning Date of Attendance	47			Beginning Date of Attendance at CPI	
i. Date of Registration	47			Date of Registration at CPI	
2. Enrollment Status	47			Enrollment Status at CPI	

<b>Data Element</b> \ <b>Qualifier</b>	<b>Defined on Page</b>	<b>Secondary School</b> <b>(SS)</b>	<b>Previous Postsecondary Institution</b> <b>(PPI)</b>	<b>Current Postsecondary Institution</b> <b>(CPI)</b>	<b>Subsequent Postsecondary Institution</b> <b>(SPI)</b>
3. Department/Division/School	48				
a. Name of Department/Division/School	48			Name of Department/Division/School at CPI	
4. Program of Studies	48				
a. Type of Program	48			Type of Program at CPI	
b. Major Field of Study	49				
(1) Major Field of Study – Standard Name	50		Major Field of Study – Standard Name at PPI	Major Field of Study – Standard Name at CPI	Major Field of Study – Standard Name at SPI
(2) Major Field of Study – Institutional Name	50		Major Field of Study – Institutional Name at PPI	Major Field of Study – Institutional Name at CPI	Major Field of Study – Institutional Name at SPI
c. Minor Field of Study	50				
(1) Minor Field of Study – Standard Name	50		Minor Field of Study – Standard Name at PPI	Minor Field of Study – Standard Name at CPI	Minor Field of Study – Standard Name at SPI
(2) Minor Field of Study – Institutional Name	51		Minor Field of Study – Institutional Name at PPI	Minor Field of Study – Institutional Name at CPI	Minor Field of Study – Institutional Name at SPI
d. Length of Program	51			Length of Program at CPI	
e. Date of Expected Program Completion	51			Date of Expected Program Completion at CPI	

# 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.

Qualifier  Data Element	Defined on Page	Secondary School  (SS)	Previous Postsecondary Institution  (PPI)	Current Postsecondary Institution  (CPI)	Subsequent Postsecondary Institution  (SPI)
1. Standardized Test	51				
a. Name(s) of Admission Test(s)	51		Name of Admission Test for PPI	Name of Admission Test for CPI	
b. Name(s) of Placement Test(s)	52		Name of Placement Test at PPI	Name of Placement Test at CPI	
c. Name(s) of Other Standardized Test(s)	52		Name of Other Standardized Test at PPI	Name of Other Standardized Test at CPI	
d. Test Results	52		Test Results at PPI	Test Results at CPI	
e. Date Test Was Administered	52		Date Test Was Administered at PPI	Date Test was Administered at CPI	
2. Course	52				
a. Course Title	53	Course Title at SS	Course Title at PPI	Course Title at CPI	
b. Subject-matter Area of Course	53	Subject-matter Area of Course at SS	Subject-matter Area of Course at PPI	Subject-matter Area of Course at CPI	
c. Course Code	53		Course Code at PPI		
d. Length of Course	53		Length of Course at PPI	Length of Course at CPI	

<b>Data Element</b> \ <b>Qualifier</b>	<b>Defined on Page</b>	<b>Secondary School (SS)</b>	<b>Previous Postsecondary Institution (PPI)</b>	<b>Current Postsecondary Institution (CPI)</b>	<b>Subsequent Postsecondary Institution (SPI)</b>
e. Beginning Date of Course	53		Beginning Date of Course at PPI	Beginning Date of Course at CPI	
f. Ending Date of Course	54		Ending Date of Course at PPI	Ending Date of Course at CPI	
g. Award Units for Course	54	Award Units for Course at SS	Award Units for Course at PPI	Award Units for Course at CPI	
3. Grade (Mark)	54				
a. Grade (Mark) Received for Course	54	Grade (Mark) Received for Course at SS	Grade (Mark) Received for Course at PPI	Grade (Mark) Received for Course at CPI	
b. Grade-point Average	54	Grade-point Average at SS	Grade-point Average at PPI	Grade-point Average at CPI	
c. Rank in Class	55	Rank in Class at SS	Rank in Class at PPI	Rank in Class at CPI	
4. Award Units	55				
a. Award Units Received for Course	55	Award Units Received for Course at SS	Award Units Received for Course at PPI	Award Units Received for Course at CPI	
b. Award Units Accepted	56			Award Units Accepted at CPI	
c. Total Award Units Accumulated	56			Total Award Units Accumulated at CPI	
d. Total Award Units Accumulated Toward Formal Award	56			Total Award Units Accumulated Toward Formal Award at CPI	

# FIGURE A-2.—STUDENT'S EDUCATIONAL EXPERIENCE

## V. PARTICIPATION/PERFORMANCE—Continued

Qualifier Data Element	Defined on Page	Secondary School (SS)	Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
e. Total Award Units Required for Completion of Program	56			Total Award Units Required for Completion of Program at CPI	
5. Formal Award	56				
a. Formal Award Sought	58			Formal Award Sought at CPI	Formal Award Sought at SPI
b. Formal Award Earned	58	Formal Award Earned from SS	Formal Award Earned from PPI	Formal Award Earned from CPI	Formal Award Earned from SPI
c. Formal Award Date	59	Formal Award Date at SS	Formal Award Date at PPI	Formal Award Date at CPI	Formal Award Date at SPI
6. Academic Honors	59	Academic Honors at SS	Academic Honors at PPI	Academic Honors at CPI	Academic Honors at SPI



## 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.

Data Element \ Qualifier	Defined on Page	Secondary School (SS)	Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
1. Type of Termination	59			Type of Termination from CPI	
2. Student Standing at Time of Termination	60			Student Standing at Time of Termination from CPI	
3. Reason for Transfer/Withdrawal	60			Reason for Transfer/Withdrawal from CPI	
4. Date of Last Attendance	61			Date of Last Attendance at CPI	
5. Termination Date	61			Termination Date at CPI	

INFORMATION ITEM TABLES

### 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.

Data Element \ Qualifier	Defined on Page	Previous	Current	Subsequent
1. Civilian Employment	63			
a. Name of Employer	63	Name of Previous Employer	Name of Current Employer	Name of Subsequent Employer
b. Address of Employer	63	Address of Previous Employer	Address of Current Employer	Address of Subsequent Employer
c. Standard Industrial Classification of Employer	63	Standard Industrial Classification of Previous Employer	Standard Industrial Classification of Current Employer	Standard Industrial Classification of Subsequent Employer
d. Work Performed	64	Previous Work Performed	Current Work Performed	Subsequent Work Performed
e. Employment Status	64	Previous Employment Status	Current Employment Status	Subsequent Employment Status
f. Dates of Employment	65	Dates of Previous Employment	Dates of Current Employment	Dates of Subsequent Employment
g. Relationship of Job to Major Field of Study	65	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
h. Hours Worked Weekly	65		Hours Currently Worked Weekly	
2. Earnings Rate	66		Current Earnings Rate	Subsequent Earnings Rate *

<sup>1</sup>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.

Data Element \ Qualifier	Defined on Page	Previous	Current	Subsequent
1. Military Service	66			
a. Branch of Military Service	67	Branch of Previous Military Service	Branch of Current Military Service	Branch of Subsequent Military Service
b. Military Status	67	Previous Military Status	Current Military Status	Subsequent Military Service
c. Military Identification Number	67	Previous Military Identification Number	Current Military Identification Number	
d. Student's Primary Military Specialty Number and Title	67	Student's Previous Primary Military Specialty Number and Title	Student's Current Primary Military Specialty Number and Title	Student's Subsequent Primary Military Specialty Number and Title
e. Student's Additional Military Specialty Number and Title	68	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
f. Date Entered Active Duty	68	Date Entered Previous Active Duty	Date Entered Current Active Duty	Date Entered Subsequent Active Duty
g. Date Released from Active Duty	68	Date Released from Previous Duty		Date Released from Subsequent Active Duty
h. Rank at Separation	69	Rank at Previous Separation		Rank at Subsequent Separation
i. Veteran's Status	69		Current Veteran's Status	
j. Participation in Veterans' Educational Benefits	69		Current Participation in Veterans' Educational Benefits	

## 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:

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

### INSTITUTIONAL QUALIFIERS<sup>1</sup>

The use of the proper institutional qualifiers is determined according to a student's experience at the institution collecting data about that student. *Regardless of the date of the data collection*, the collecting institution always refers to itself as the *Current Postsecondary Institution*. If the collecting (current) postsecondary institution gathers information about the student's

<sup>1</sup>Institutional Qualifiers are defined in chapter 2, p. 9.

educational experience in a previously attended institution, it refers to the latter institution as the *Previous Postsecondary Institution*. If the collecting institution gathers data about the student's activities in a subsequently attended institution, it refers to that institution as the *Subsequent Postsecondary Institution*. The use of institutional qualifiers is illustrated in Figure B-1.

### TIME-FRAME QUALIFIERS<sup>2</sup>

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<sup>3</sup>

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).

<sup>2</sup>Time-Frame Qualifiers are defined in chapter 2, page 9.

<sup>3</sup>Definitions 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

Attendance Dates	Institution Attended	Date of Collection	Correct Qualifier		
			Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
1972-1974	Greenville College	1980		Greenville College	
1974-1975	Illinois State University	1980			Illinois State University
1976-1978	University of Pennsylvania	1980			University of Pennsylvania

### 2. Institution Collecting Data: Illinois State University

Attendance Dates	Institution Attended	Date of Collection	Correct Qualifier		
			Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
1972-1974	Greenville College	1980	Greenville College		
1974-1975	Illinois State University	1980		Illinois State University	
1976-1978	University of Pennsylvania	1980			University of Pennsylvania

### 3. Institution Collecting Data: University of Pennsylvania

Attendance Dates	Institution Attended	Date of Collection	Correct Qualifier		
			Previous Postsecondary Institution (PPI)	Current Postsecondary Institution (CPI)	Subsequent Postsecondary Institution (SPI)
1972-1974	Greenville College	1980	Greenville College		
1974-1975	Illinois State University	1980	Illinois State University		
1976-1978	University of Pennsylvania	1980		University of Pennsylvania	

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:<sup>4</sup>

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;

<sup>4</sup>U.S. Department of Commerce, Office of Federal Statistical Policy and Standards, Directive No. 15. Race and Ethnic Standards for Federal Statistics and Administrative Reporting, published in the *Federal Register* of May 4, 1978, page 19269.

- (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 partic-

### 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

RACIAL GROUP	HISPANIC	NOT HISPANIC	TOTAL
American Indian or Alaskan Native		*	
Asian or Pacific Islander		*	
Black		*	
White		*	
TOTAL	*		



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<sup>5</sup>

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<sup>6</sup>

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.

<sup>5</sup>Highest Level of Education Completed is defined in chapter 2, p. 16.

<sup>6</sup>Terms 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 solely 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 or burns 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; 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 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, 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 partially seeing and blind children. (20 U.S.C. 1401(1), (15).)

## 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:

(j) "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)(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 sense organs; respiratory, including speech or-

gans; 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 misclassified as having, a mental or physical impairment that substan-

tially 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 (j)(2)(i) of this section but is treated by a recipient as having such an impairment.

## GEOGRAPHIC ORIGIN (AT TIME OF ADMISSION)<sup>7</sup>

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 or 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

<sup>7</sup>*Geographic Origin* and *Residency Status* are defined on pages 34 and 23, respectively, of chapter 2.

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*<sup>8</sup> registers per unit of time. (Time may be measured in semesters, quarters, etc.) Thus, normal load is computed as follows:

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

(e.g., number of semesters, quarters, or contact hours/clock hours)

- **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*<sup>9</sup> to spend 30 or more *total hours* (see page 110) per week in program-related activities,<sup>10</sup> 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*.<sup>11</sup>

<sup>8</sup>A "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*.

<sup>9</sup>See footnote 8 for definition of fully-engaged student.

<sup>10</sup>Some 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).

<sup>11</sup>For 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 embrace 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 BEOG, 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:

$$\text{FULL-TIME EQUIVALENT COUNT} = \frac{\text{sum of STUDENT LOADS in the program in a given time period}}{\text{NORMAL LOAD}}$$

(of students in programs requiring 30 or more total hours per week)

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:

$$\text{EQUIVALENT STUDENT COUNT} = \frac{\text{sum of STUDENT LOADS in the program in a given time period}}{\text{NORMAL LOAD}}$$

(of students in programs requiring fewer than 30 total hours per week)

## ENROLLMENT STATUS : COOPERATIVE ENROLLMENT<sup>12</sup>

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;<sup>13</sup> 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

<sup>12</sup>Enrollment status is defined on page 47 of chapter 2.

<sup>13</sup>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.

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<sup>14</sup>

*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.

<sup>14</sup>Award Unit is defined on page 55 of chapter 2.

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

	Institution "X"	Institution "Y"
Line 1	Pol. Sci. 101 = 1 Credit Unit	Pol. Sci. 101 = 3 Trimester Hours Credit
Line 2	Pol. Sci. 101 = 40 Contact Hours/ Clock Hours	Pol. Sci. 101 = 20 Contact Hours/ Clock Hours
Line 3	Pol. Sci. 101 = 40 Outside Hours	Pol. Sci. 101 = 60 Outside Hours
Line 4	Pol. Sci. 101 = 80 Total Hours	Pol. Sci. 101 = 80 Total Hours

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 about 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

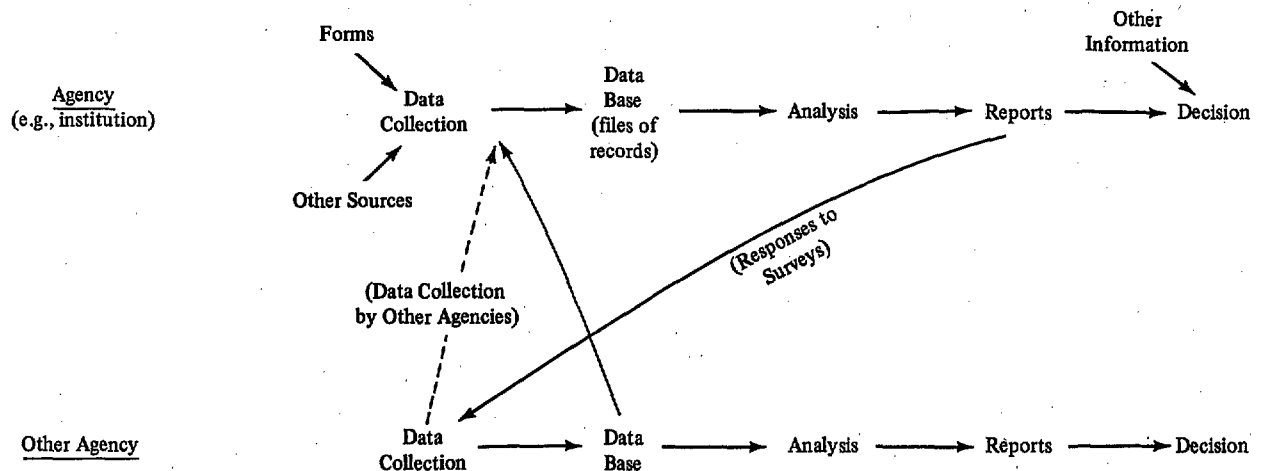
Data elements are "used" in many ways. To classify these various uses, the concept presented in Figure C-1 may be helpful. Most agencies collect data, retain data on records in a data base, analyze data, prepare reports, and use the reported data to help make decisions. Postsecondary institutions generally 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

Heading: *Name of institution*  
 Body: *Number of students*  
 Columns: *Admission decision* (with subcategories)  
 Rows: *Formal award sought*

This table identifies institutions with relevant data.

Table B

Heading: *Name of institution*  
 Body: *Number of students who were admitted under special basis for disadvantaged.*  
 (This might be determined by reference to secondary school grade-point average or special assistance needs.)  
 Rows: *Formal award sought* (plus a row for "total").  
 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.)

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 post-secondary 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; Earnings; 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<sup>1</sup>

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; 1967 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.

<sup>1</sup>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<sup>1</sup>

NAME	ABBREVIATION	CODE	NAME	ABBREVIATION	CODE
ALABAMA	AL	01	MISSOURI	MO	29
ALASKA	AK	02	MONTANA	MT	30
ARIZONA	AZ	04	NEBRASKA	NE	31
ARKANSAS	AR	05	NEVADA	NV	32
CALIFORNIA	CA	06	NEW HAMPSHIRE	NH	33
COLORADO	CO	08	NEW JERSEY	NJ	34
CONNECTICUT	CT	09	NEW MEXICO	NM	35
DELAWARE	DE	10	NEW YORK	NY	36
DISTRICT OF COLUMBIA	DC	11	NORTH CAROLINA	NC	37
FLORIDA	FL	12	NORTH DAKOTA	ND	38
GEORGIA	GA	13	OHIO	OH	39
HAWAII	HI	15	OKLAHOMA	OK	40
IDAHO	ID	16	OREGON	OR	41
ILLINOIS	IL	17	PENNSYLVANIA	PA	42
INDIANA	IN	18	RHODE ISLAND	RI	44
IOWA	IA	19	SOUTH CAROLINA	SC	45
KANSAS	KS	20	SOUTH DAKOTA	SD	46
KENTUCKY	KY	21	TENNESSEE	TN	47
LOUISIANA	LA	22	TEXAS	TX	48
MAINE	ME	23	UTAH	UT	49
MARYLAND	MD	24	VERMONT	VT	50
MASSACHUSETTS	MA	25	VIRGINIA	VA	51
MICHIGAN	MI	26	WASHINGTON	WA	53
MINNESOTA	MN	27	WEST VIRGINIA	WV	54
MISSISSIPPI	MS	28	WISCONSIN	WI	55
			WYOMING	WY	56

<sup>1</sup>*Federal Information Processing Standards Publication 5-1*, National Bureau of Standards, 1970, updated 1979.

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<sup>1</sup>

NAME	CODE	NAME	CODE
AFGHANISTAN	AF	BULGARIA	BU
ALBANIA	AL	BURMA	BM
ALGERIA	AG	BURUNDI	BY
AMERICAN SAMOA	AQ	CAMEROON	CM
ANDORRA	AN	CANADA	CA
ANGOLA	AO	CAPE VERDE, REPUBLIC OF	CV
ANGUILLA	AV	CAYMAN ISLANDS	CJ
ANTARCTICA	AY	CENTRAL AFRICAN REPUBLIC	CT
ANTIGUA	AC	CHAD	CD
ARGENTINA	AR	CHILE	CI
AUSTRALIA	AS	CHINA, TAIWAN	TW
AUSTRIA	AU	CHINA	CH
BAHAMAS	BF	CHRISTMAS ISLAND	KT
BAHRAIN	BA	COCOS (KEELING) ISLANDS	CK
BANGLADESH	BG	COLOMBIA	CO
BARBADOS	BB	COMORO ISLANDS	CN
BELGIUM	BE	CONGO	CF
BELIZE	BH	COOK ISLANDS	CW
BENIN	DM	COSTA RICA	CS
BERMUDA	BD	CUBA	CU
BHUTAN	BT	CYPRUS	CY
BOLIVIA	BL	CZECHOSLOVAKIA	CZ
BOTSWANA	BC	DENMARK	DA
BOUVET ISLAND	BV	DJIBOUTI	DJ
BRAZIL	BR	DOMINICA	DO
BRITISH INDIAN OCEAN TERRITORY	IO	DOMINICAN REPUBLIC	DR
BRITISH VIRGIN ISLANDS	VI	ECUADOR	EC
BRUNEI	BX	EGYPT	EG

<sup>1</sup> Federal Information Processing Standards Publication 10-2, National Bureau of Standards, 1977, updated 1980.

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

NAME	CODE	NAME	CODE
EL SALVADOR	ES	ISRAEL	IS
EQUATORIAL GUINEA	EK	ITALY	IT
ETHIOPIA	ET	IVORY COAST	IV
FAROE ISLANDS	FO	JAMAICA	JM
FALKLAND ISLANDS (ISLAS MALVINAS)	FA	JAPAN	JA
FIJI	FJ	JOHNSTON ATOLL	JQ
FINLAND	FI	JORDAN	JO
FRANCE	FR	KAMPUCHEA	CB
FRENCH GUIANA	FG	KENYA	KE
FRENCH POLYNESIA	FP	KIRIBATI	KR
FRENCH SOUTHERN AND ANTARCTIC LANDS	FS	KOREA, DEMOCRATIC PEOPLES REPUBLIC OF	KN
GABON	GB	KOREA, REPUBLIC OF	KS
GAMBIA, THE	GA	KUWAIT	KU
GAZA STRIP	GZ	LAOS	LA
GERMAN DEMOCRATIC REPUBLIC	GC	LEBANON	LE
GERMANY, BERLIN	BZ	LESOTHO	LT
GERMANY, FEDERAL REPUBLIC OF	GE	LIBERIA	LI
GHANA	GH	LIBYA	LY
GILBRALTAR	GI	LIECHTENSTEIN	LS
GREECE	GR	LUXEMBOURG	LU
GREENLAND	GL	MACAO	MC
GRENADA	GJ	MADAGASCAR	MA
GUADELOUPE	GP	MALAWI	MI
GUAM	GQ	MALAYSIA	MY
GUATEMALA	GT	MALDIVES	MV
GUINEA	GV	MALI	ML
GUINEA-BISSAU	PU	MALTA	MT
GUYANA	GY	MARTINIQUE	MB
HAITI	HA	MAURITANIA	MR
HEARD ISLAND AND McDONALD ISLANDS	HM	MAURITIUS	MP
HONDURAS	HO	MEXICO	MX
HONG KONG	HK	MIDWAY ISLANDS	MQ
HUNGARY	HU	MONACO	MN
ICELAND	IC	MONGOLIA	MG
INDIA	IN	MONTserrat	MH
INDONESIA	ID	MOROCCO	MO
IRAN	IR	MOZAMBIQUE	MZ
IRAQ	IZ	NAMIBIA	WA
IRAQ-SAUDI ARABIA NEUTRAL ZONE	IY	NAURU	NR
IRELAND	EI	NAVASSA ISLAND	BQ
		NEPAL	NP
		NETHERLANDS	NL
		NETHERLANDS ANTILLES	NA

## CODES FOR COUNTRIES, DEPENDENCIES, AND AREAS OF SPECIAL SOVEREIGNTY—Continued

NAME	CODE	NAME	CODE
NEW CALEDONIA	NC	SRI LANKA	CE
NEW HEBRIDES	NH	SUDAN	SU
NEW ZEALAND	NZ	SURINAME	NS
NICARAGUA	NU	SVALBARD AND JAN MAYEN	JS
NIGER	NG	SWAZILAND	WZ
NIGERIA	NI	SWEDEN	SW
NIUE	NE	SWITZERLAND	SZ
NORFOLK ISLAND	NF	SYRIA	SY
NORTHERN MARIANA ISLANDS	CQ	TANZANIA, UNITED REPUBLIC OF	TZ
NORWAY	NO	THAILAND	TH
OMAN	MU	TOGO	TO
PAKISTAN	PK	TOKELAU	TL
PANAMA	PN	TONGA	TN
PAPUA NEW GUINEA	PP	TRINIDAD AND TOBAGO	TD
PARACEL ISLANDS	PF	TRUST TERRITORY OF THE PACIFIC ISLANDS	TQ
PARAGUAY	PA		
PERU	PE	TUNISIA	TS
PHILIPPINES	RP	TURKEY	TU
PITCAIRN ISLANDS	PC	TURKS AND CAICOS ISLANDS	TK
POLAND	PL	TUVALU	TV
PORTUGAL	PO	UGANDA	UG
PUERTO RICO	RQ	UNION OF SOVIET SOCIALIST REPUBLICS	UR
QATAR	QA	UNITED ARAB EMIRATES	TC
REUNION	RE	UNITED KINGDOM	UK
ROMANIA	RO	UNITED STATES	US
RWANDA	RW	UNITED STATES MISC. PACIFIC ISLANDS	IQ
ST. CHRISTOPHER-NEVIS- ANGUILLA	SC	UPPER VOLTA	UV
ST. HELENA	SH	URUGUAY	UY
ST. LUCIA	ST	VATICAN CITY	VT
ST. PIERRE AND MIQUELON	SB	VENEZUELA	VE
ST. VINCENT AND THE GRENADINES	VC	VIETNAM	VM
SAN MARINO	SM	VIRGIN ISLANDS OF THE U.S.	VQ
SAO TOME AND PRINCIPE	TP	WAKE ISLAND	WQ
SAUDIA ARABIA	SA	WALLIS AND FUTUNA	WF
SENEGAL	SG	WESTERN SAHARA	WI
SEYCHELLES	SE	WESTERN SAMOA	WS
SIERRA LEONE	SL	YEMEN (ADEN)	YS
SINGAPORE	SN	YEMEN (SANA)	YE
SOLOMON ISLANDS	BP	YUGOSLAVIA	YO
SOMALIA	SO	ZAIRE	CG
SOUTH AFRICA	SF	ZAMBIA	ZA
SPAIN	SP	ZIMBABWE	ZI
SPRATLY ISLANDS	PG		

## 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 below, are taken from Handbook VI, *Standard Terminology for Curriculum and Instruction in Local and State School Systems*.<sup>1</sup> Major disciplines for higher education, included under .01b to .49b, are taken from *A Taxonomy of Instructional Programs in Higher Education*.<sup>2</sup> (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
- .04a Distributive education
- .07a Health occupations education
- .09a Home economics
- .14a Office occupations
- .16a Technical education
- .17a Trade and industrial occupations
- .01b Agricultural and natural resources

- .02b Architecture and environmental design
- .03b Area studies
- .04b Biological sciences
- .05b Business and management
- .06b Communications
- .07b Computer and information sciences
- .08b Education
- .09b Engineering
- .10b Fine and applied arts
- .11b Foreign languages
- .12b Health professions
- .13b Home economics
- .14b Law
- .15b Letters
- .16b Library science
- .17b Mathematics
- .18b Military sciences
- .19b Physical sciences
- .20b Psychology
- .21b Public affairs and services
- .22b Social sciences
- .23b Theology
- .49b Interdisciplinary studies

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<sup>1</sup>John F. Putnam and W. Dale Chismore, *Standard Terminology for Curriculum and Instruction in Local and State Systems*. State Educational Records and Reports Series: Handbook VI, U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1970).

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<sup>2</sup>Robert A. Huff and Marjorie O. Chandler, *A Taxonomy of Instructional Programs in Higher Education*, U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1970).

## 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.<sup>3</sup>

- |  |  |
|--|--|
| 01 – Agriculture and Renewable Natural Resources | 10 – Home Economics                                    |
| 02 – Architecture and Environmental Design       | 11 – Industrial Arts, Trades, and Technology           |
| 03 – Arts, Visual and Performing                 | 12 – Language, Linguistics, and Literature             |
| 04 – Business                                    | 13 – Law   |
| 05 – Communication                               | 14 – Libraries and Museums                             |
| 06 – Computer Science and Data Processing        | 15 – Life Sciences and Physical Sciences               |
| 07 – Education                                   | 16 – Mathematical Sciences                             |
| 08 – Engineering and Engineering Technology      | 17 – Military Sciences                                 |
| 09 – Health Care and Health 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. LANGUAGES<sup>4</sup>

- |   |   |
|---|---|
| .01 <i>Arabic, modern standard</i>              | .16 <i>Polish</i>   |
| .02 <i>Arabic, colloquial (specify dialect)</i> | .17 <i>Portuguese</i>                                       |
| .03 <i>Chinese, modern Mandarin</i>             | .18 <i>Russian</i>  |
| .04 <i>Chinese, Cantonese</i>                   | .19 <i>Spanish</i>  |
| .05 <i>Czech</i>                                | .20 <i>Swedish</i>  |
| .06 <i>Danish</i>                               | .21 <i>Vietnamese</i>                                       |
| .07 <i>English</i>                              | .22 <i>African (non-Semitic) (specify)</i>                  |
| .08 <i>French</i>                               | .23 <i>Hindi/Urdu</i>                                       |
| .09 <i>German</i>                               | .24 <i>Korean</i>   |
| .10 <i>Greek, modern</i>                        | .25 <i>Filipino dialect (specify)</i>                       |
| .11 <i>Hawaiian</i>                             | .26 <i>Yiddish</i>  |
| .12 <i>Hebrew, modern (Israel)</i>              | .27 <i>Finnish</i>  |
| .13 <i>Italian</i>                              | .29 <i>Other modern foreign language (specify)</i>          |
| .14 <i>Japanese</i>                             | .30 <i>Socio-cultural dialect of English (specify)</i>      |
| .15 <i>Norwegian</i>                            | .40 <i>Native American Indian tribal language (specify)</i> |

<sup>3</sup>W. Dale Chismore and Quentin M. Hill, *A Classification Educational Subject Matter*. State Educational Records and Reports Series: Handbook XI, U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1978).

<sup>4</sup>John F. Putnam, *Student/Pupil Accounting*, State Educational Records and Reports Series: Handbook V, revised, U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1976) p. 195 (with minor changes).



# 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.<sup>1</sup>

### 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

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<sup>1</sup>U.S. Department of Commerce, *Standard Occupational Classification Manual* (Washington, D.C.: U.S. Government Printing Office, 1977). Modifications for the Standard Occupational Classification System were being prepared at the time this handbook was in the publication process.

**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
- 252 ARCHIVISTS AND CURATORS

**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

**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; EXCEPTS 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

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 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<sup>1</sup>

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 and 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.

<sup>1</sup>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<sup>1</sup>

Sec. 438 of the Amended General Education Provisions Act as established by P.L. 93-380, Education Amendments of 1974, and amended by P.L. 93-568.

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.

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<sup>1</sup>Federal 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.

## POSTSECONDARY STUDENT TERMINOLOGY

- (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 information" 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 student 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 institution 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 program 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 information, 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 educational institution or local educational agency, who have been determined by such agency or institution to have legitimate educational 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 General of the United States, (ii) the Secretary, (iii) an administrative 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 information is specifically required to be reported or disclosed pursuant 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 student aid programs, and improving instruction, if such studies are conducted in such a manner as will not permit the personal identification of students and their parents by persons other than representatives 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 accrediting 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 thereunder.

(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 parents 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 program, 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 records 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



IV-A-1 and IV-B, respectively, of the Higher Education Act of 1965, as amended).

(20 U.S.C. 1232g)

(d) Except as otherwise specifically provided, this part applies to education records of students who are or have been in attendance at the educational agency or institution which maintains the records.

(20 U.S.C. 1232g)

#### § 99.2 Purpose.

The purpose of this part is to set forth requirements governing the protection of privacy of parents and students under section 438 of the General Education Provisions Act, as amended.

(20 U.S.C. 1232g)

#### § 99.3 Definitions.

As used in this Part:

"Act" means the General Education Provisions Act, Title IV of Pub. L. 90-247, as amended.

"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.

(20 U.S.C. 1232g)

"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, weight and height of members of athletic teams, dates of attendance, degrees and awards received, the most recent previous educational agency or institution attended by the student, and other similar information.

(20 U.S.C. 1232g(a)(5)(A))

"Disclosure" means permitting access or the release, transfer, or other communication of education records of the student or the personally identifiable information contained therein, orally or in writing, or by electronic means, or by any other means to any party.

[20 U.S.C. 1232g(b)(1)]

"Educational institution" or "educational agency or institution" means any public or private agency or institution which is the recipient of funds under any Federal program referenced in § 99.1(a). The term refers to the agency or institution recipient as a whole, including all of its components (such as schools or departments in a university) and shall not be read to refer to one or more of these components separate from that agency or institution.

(20 U.S.C. 1232g(a)(3))

"Education records" (a) means those records which: (1) Are directly related to a student, and (2) are maintained by an educational agency or institution or by a party acting for the agency or institution.

(b) The term does not include:

(1) Records of instructional, supervisory, and administrative personnel and

educational personnel ancillary thereto which:

(i) Are in the sole possession of the maker thereof, and

(ii) Are not accessible or revealed to any other individual except a substitute. For the purpose of this definition, a "substitute" means an individual who performs on a temporary basis the duties of the individual who made the record, and does not refer to an individual who permanently succeeds the maker of the record in his or her position.

(2) Records of a law enforcement unit of an educational agency or institution which are:

(i) Maintained apart from the records described in paragraph (a) of this definition;

(ii) Maintained solely for law enforcement purposes, and

(iii) Not disclosed to individuals other than law enforcement officials of the same jurisdiction; *Provided*, That education records maintained by the educational agency or institution are not disclosed to the personnel of the law enforcement unit.

(3) (i) Records relating to an individual who is employed by an educational agency or institution which:

(A) Are made and maintained in the normal course of business;

(B) Relate exclusively to the individual in that individual's capacity as an employee, and

(C) Are not available for use for any other purpose.

(ii) This paragraph does not apply to records relating to an individual in attendance at the agency or institution who is employed as a result of his or her status as a student.

(4) Records relating to an eligible student which are:

(i) Created or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting in his or her professional or paraprofessional capacity, or assisting in that capacity;

(ii) Created, maintained, or used only in connection with the provision of treatment to the student, and

(iii) Not disclosed to anyone other than individuals providing the treatment; *Provided*, That the records can be personally reviewed by a physician or other appropriate professional of the student's choice. For the purpose of this definition, "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. An example would be information collected by an educational agency or institution pertaining to the accomplishments of its alumni.

(20 U.S.C. 1232g(a)(4))

"Eligible student" means a student who has attained eighteen years of age, or is attending an institution of postsecondary education.

(20 U.S.C. 1232g(d))

"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.

(20 U.S.C. 1232g(b)(1)(D))

"Institution of postsecondary education" means an institution which provides education to students beyond the secondary school level; "secondary school level" means the educational level (not beyond grade 12) at which secondary education is provided, as determined under State law.

(20 U.S.C. 1232g(d))

"Panel" means the body which will adjudicate cases under procedures set forth in §§ 99.65-99.67.

"Parent" includes a parent, a guardian, or an individual acting as a parent of a student in the absence of a parent or guardian. An educational agency or institution may presume the parent has the authority to exercise the rights inherent in the Act unless the agency or institution has been provided with evidence that there is a State law or court order governing such matters as divorce, separation or custody, or a legally binding instrument which provides to the contrary.

"Party" means an individual, agency, institution or organization.

(20 U.S.C. 1232g(b)(4)(A))

"Personally identifiable" means that the data or information includes (a) the name of a student, the student's parent, or other family member, (b) the address of the student, (c) a personal identifier, such as the student's social security number or student number, (d) a list of personal characteristics which would make the student's identity easily traceable, or (e) other information which would make the student's identity easily traceable.

(20 U.S.C. 1232g)

"Record" means any information or data recorded in any medium, including, but not limited to: handwriting, print, tapes, film, microfilm, and microfiche.

(20 U.S.C. 1232g)

"Secretary" means the Secretary of the U.S. Department of Health, Education, and Welfare.

(20 U.S.C. 1232g)

"Student" (a) includes any individual with respect to whom an educational agency or institution maintains education records.

(b) The term does not include an individual who has not been in attendance at an educational agency or institution. A person who has applied for admission to, but has never been in attendance at a component unit of an institution of postsecondary education (such as the various colleges or schools which comprise a university), even if that individual is or has been in attendance at another component unit of that institution of postsecondary education, is not considered to be a student with respect

to the component to which an application for admission has been made.

(20 U.S.C. 1232g(a) (5) )

#### § 99.4 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 rights accorded to and the consent required of the parent of the student shall thereafter only be accorded to and required of the eligible student.

(b) The status of an eligible student as a dependent of his or her parents for the purposes of § 99.31(a) (8) does not otherwise affect the rights accorded to and the consent required of the eligible student by paragraph (a) of this section.

(20 U.S.C. 1232g(d) )

(c) Section 438 of the Act and the regulations in this part shall not be construed to preclude educational agencies or institutions from according to students rights in addition to those accorded to parents of students.

#### § 99.5 Formulation of institutional policy and procedures.

(a) Each educational agency or institution shall, consistent with the minimum requirements of section 438 of the Act and this part, formulate and adopt a policy of—

(1) Informing parents of students or eligible students of their rights under § 99.6;

(2) Permitting parents of students or eligible students to inspect and review the education records of the student in accordance with § 99.11, including at least:

(i) A statement of the procedure to be followed by a parent or an eligible student who requests to inspect and review the education records of the student;

(ii) With an understanding that it may not deny access to an education record, a description of the circumstances in which the agency or institution feels it has a legitimate cause to deny a request for a copy of such records;

(iii) A schedule of fees for copies, and

(iv) A listing of the types and locations of education records maintained by the educational agency or institution and the titles and addresses of the officials responsible for those records;

(3) Not disclosing personally identifiable information from the education records of a student without the prior written consent of the parent of the student or the eligible student, except as otherwise permitted by §§ 99.31 and 99.37; the policy shall include, at least: (i) A statement of whether the educational agency or institution will disclose personally identifiable information from the education records of a student under § 99.31 (a) (1) and, if so, a specification of the criteria for determining which parties are "school officials" and what the educational agency or institution considers to be a "legitimate educational interest", and (ii) a specification of the personally identifiable information to be designated as directory information under § 99.37;

(4) Maintaining the record of disclosures of personally identifiable information from the education records of a student required to be maintained by § 99.32,

and permitting a parent or an eligible student to inspect that record;

(5) Providing a parent 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(c);

(b) The policy required to be adopted by paragraph (a) of this section shall be in writing and copies shall be made available upon request to parents of students and to eligible students.

[20 U.S.C. 1232g (e) and (f) ]

#### § 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) Their rights under section 438 of the Act, the regulations in this part, and the policy adopted under § 99.5; the notice shall also inform parents of students or eligible students of the locations where copies of the policy may be obtained; and

(2) The right to file complaints under § 99.63 concerning alleged failures by the educational agency or institution to comply with the requirements of section 438 of the Act and this part.

(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.

[20 U.S.C. 1232g(e) ]

#### § 99.7 Limitations on waivers.

(a) Subject to the limitations in this section and § 99.12, a parent of a student or a student may waive any of his or her rights under section 438 of the Act or this part. A waiver shall not be valid unless in writing and signed by the parent or student, as appropriate.

(b) An educational agency or institution may not require that a parent of a student or student waive his or her rights under section 438 of the Act or this part. This paragraph does not preclude an educational agency or institution from requesting such a waiver.

(c) An individual who is an applicant for admission to an institution of postsecondary education or is a student in attendance at an institution of postsecondary education may waive his or her right to inspect and review confidential letters and confidential statements of recommendation described in § 99.12(a) (3) except that the waiver may apply to confidential letters and statements only if: (1) The applicant or student is, upon request, notified of the names of all individuals providing the letters or statements; (2) the letters or statements are used only for the purpose for which they were originally intended, and (3) such waiver is not required by the agency or institution as a condition of admission to

or receipt of any other service or benefit from the agency or institution.

(d) 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.

(e) A waiver under this section may be made with respect to specified classes of: (1) Education records, and (2) persons or institutions.

(f) (1) A waiver under this section may be revoked with respect to any actions occurring after the revocation.

(2) A revocation under this paragraph must be in writing.

(3) If a parent of a student executes a waiver under this section, that waiver may be revoked by the student at any time after he or she becomes an eligible student.

[20 U.S.C. 1232g(a) (1) (B) and (C) ]

#### § 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.

[20 U.S.C. 1232g(a) (1) ]

### Subpart B—Inspection and Review of Education Records

#### § 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 who is or has been in attendance at the agency or institution, to inspect and review the education records of the student. The agency or institution shall comply with a request within a reasonable period of time, but in no case more than 45 days after the request has been made.

(b) 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; and

(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) An educational agency or institution may presume that either parent of the student has authority to inspect and review the education records of the student 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 divorce, separation or custody, which provides to the contrary.



**§ 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, or sent and retained with a documented understanding 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:

(i) Respecting admission to an educational institution;

(ii) Respecting an application for employment, or

(iii) Respecting the receipt of an honor or honorary recognition; *Provided*, That the student has waived his or her right to inspect and review those letters and statements of recommendation under § 99.7(c).

[20 U.S.C. 1232g(a)(1)(B)]

(b) If the education records of a student contain information on more than one student, the parent of the student or the eligible student may inspect and review or be informed of only the specific information which pertains to that student.

[20 U.S.C. 1232g(a)(1)(A)]

**§ 99.13 Limitation on destruction of education records.**

An educational agency or institution is not precluded by section 438 of the Act or this part from destroying education records, subject to the following exceptions:

(a) The agency or institution may not destroy any education records if there is an outstanding request to inspect and review them under § 99.11;

(b) Explanations placed in the education record under § 99.21 shall be maintained as provided in § 99.21(d), and

(c) The record of access required under § 99.32 shall be maintained for as long as the education record to which it pertains is maintained.

[20 U.S.C. 1232g(f)]

**Subpart C—Amendment of Education Records**

**§ 99.20 Request to amend education records.**

(a) The parent of a student 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 of receipt of the request.

(c) If the educational agency or institution decides to refuse to amend the education records of the student in accordance with the request it shall so inform the parent of the student or the eligible student of the refusal, and advise the parent or the eligible student of the right to a hearing under § 99.21.

[20 U.S.C. 1232g(a)(2)]

**§ 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 of the student or the eligible student in writing.

(c) If, as a result of the hearing, the educational agency or institution decides that the information is not inaccurate, misleading or otherwise in violation of the privacy or other rights of students, it shall inform the parent or eligible student of the right to place in the education records of the student a statement commenting upon the information in the education records and/or setting forth any reasons for disagreeing with the decision of the agency or institution.

(d) Any explanation placed in the education records of the student under paragraph (c) of this section shall:

(1) Be maintained by the educational agency or institution as part of the education records of the student as long as the record or contested portion thereof is maintained by the agency or institution, and

(2) If the education records of the student or the contested portion thereof is disclosed by the educational agency or institution to any party, the explanation shall also be disclosed to that party.

[20 U.S.C. 1232g(a)(2)]

**§ 99.22 Conduct of the hearing.**

The hearing required to be held by § 99.21(a) shall be conducted according to procedures which shall include at least the following elements:

(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 any party, including an official of the

educational agency or institution, who does not have a direct interest in the outcome of the hearing;

(c) The parent of the student or the eligible student shall be afforded a full and fair 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;

(d) The educational agency or institution shall make its decision in writing within a reasonable period of time after the conclusion of the hearing; and

(e) 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.

[20 U.S.C. 1232g(a)(2)]

**Subpart D—Disclosure of Personally Identifiable Information From Education Records**

**§ 99.30 Prior consent for disclosure required.**

(a) (1) An educational agency or institution shall obtain the written consent of the parent of a student or the eligible student before disclosing personally identifiable information from the education records of a student, other than directory information, except as provided in § 99.31.

(2) Consent is not required under this section where the disclosure is to (i) the parent of a student who is not an eligible student, or (ii) the student himself or herself.

(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 divorce, separation or 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 parents.

[20 U.S.C. 1232g(b)(1) and (b)(2)(A)]

**§ 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 the parent of the student or the eligible student if the disclosure is—

(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:

(i) The Comptroller General of the United States,

(ii) The Secretary,

(iii) The Commissioner, the Director of the National Institute of Education, or the Assistant Secretary for Education, or

(iv) State educational authorities;

(4) 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 determine the conditions which will be imposed regarding the financial aid, or

(iv) To enforce the terms or conditions of the financial aid;

(5) To State and local officials or authorities to whom 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 whom disclosures are made under this subparagraph;

(6) 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 organization 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;

(7) To accrediting organizations in order to carry out their accrediting functions;

(8) To parents of a dependent student, as defined in section 152 of the Internal Revenue Code of 1954;

(9) 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 stu-

dent of the order or subpoena in advance of compliance therewith; and

(10) To appropriate parties in a health or safety emergency subject to the conditions set forth in § 99.36.

(b) This section shall not be construed to require or preclude disclosure of any 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.

[20 U.S.C. 1232g(b)(1)]

#### § 99.32 Record of disclosures required to be maintained.

(a) An educational agency or institution shall for each request for and each disclosure of personally identifiable information from the education records of a student, maintain a record kept with the education records of the student which indicates:

(1) The parties who have requested or obtained personally identifiable information from the education records of the student, and

(2) The legitimate interests these parties had in requesting or obtaining the information.

(b) Paragraph (a) of this section does not apply to disclosures to a parent of a student or an eligible student, disclosures pursuant to the written consent of a parent of a student or an eligible student when the consent is specific with respect to the party or parties to whom the disclosure is to be made, disclosures to school officials under § 99.31(a)(1), or to disclosures of directory information under § 99.37.

(c) The record of disclosures may be inspected;

(1) By the parent of the student or the eligible student,

(2) By the school official and his or her assistants who are responsible for the custody of the records, and

(3) For the purpose of auditing the recordkeeping procedures of the educational agency or institution by the parties authorized in, and under the conditions set forth in § 99.31(a)(1) and (3).

[20 U.S.C. 1232g(b)(4)(A)]

#### § 99.33 Limitation on redisclosure.

(a) An educational agency or institution may disclose personally identifiable information from the education records of a student only on the condition that the party to whom the information is disclosed will not disclose the information to any other party without the prior written consent of the parent of the student or the eligible student, except that the personally identifiable information which is disclosed to an institution, agency or organization may be used by its officers, employees and agents, but only for the purposes for which the disclosure was made.

(b) Paragraph (a) of this section does not preclude an agency or institution from disclosing personally identifiable information under § 99.31 with the understanding that the information will be redisclosed to other parties under that section; *Provided*, That the recordkeep-

ing requirements of § 99.32 are met with respect to each of those parties.

(c) An educational agency or institution shall, except for the disclosure of directory information under § 99.37, inform the party to whom a disclosure is made of the requirement set forth in paragraph (a) of this section.

[20 U.S.C. 1232g(b)(4)(B)]

#### § 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 the last known address of the parent or eligible student, except:

(i) When the transfer of the records is initiated by the parent or eligible student at the sending agency or institution, or

(ii) 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;

(2) Provide the parent of the student or the eligible student, upon request, with a copy of the education records which have been transferred; and

(3) 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 parent of the student or the eligible student; *Provided*, That the disclosure meets the requirements of paragraph (a) of this section.

[20 U.S.C. 1232g(b)(1)(B)]

#### § 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-

tion of students and their parents by other than those officials, and personally identifiable data shall be destroyed when no longer needed for such audit, evaluation, or enforcement of or compliance with Federal legal requirements.

[20 U.S.C. 1232g(b)(3)]

**§ 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; and

(4) The extent to which time is of the essence in dealing 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 personally identifiable 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 (as defined in § 99.3) under paragraph (c) of this section.

(b) An educational agency or institution may disclose directory information from the education records of an individual who is no longer in attendance at the agency or institution without following the procedures under paragraph (c) of this section.

(c) An educational agency or institution which wishes to designate directory information shall give public notice of the following:

(1) The categories of personally identifiable information which the institution has designated as directory information;

(2) The right of the parent of the student or the eligible student to refuse to permit the designation of any or all of the categories of personally identifiable information with respect to that student as directory information; and

(3) The period of time within which the parent of the student or the eligible student must inform the agency or institution in writing that such personally identifiable information is not to be designated as directory information with respect to that student.

[20 U.S.C. 1232g(a)(5)(A) and (B)]

**Subpart E—Enforcement**

**§ 99.60 Office and review board.**

(a) The Secretary is required to establish or designate an office and a review board under section 438(g) of the Act. The office will investigate, process, and review violations, and complaints which may be filed concerning alleged violations of the provisions of section 438 of the Act and the regulations in this part. The review board will adjudicate cases referred to it by the office under the procedures set forth in §§ 99.65–99.67.

(b) The following is the address of the office which has been designated under paragraph (a) of this section: The Family Educational Rights and Privacy Act Office (FERPA), Department of Health, Education, and Welfare, 330 Independence Ave. SW., Washington, D.C. 20201.

(20 U.S.C. 1232g(g))

**§ 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 so 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.

(20 U.S.C. 1232g(f))

**§ 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 their functions under this part, and (b) keep the records and afford access thereto as the Office or the Review Board may find necessary to assure the correctness of those reports and compliance with the provisions of sections 438 of the Act and this part.

(20 U.S.C. 1232g(f) and (g))

**§ 99.63 Complaint procedure.**

(a) Complaints regarding violations of rights accorded parents and eligible students by section 438 of the Act or the regulations in this part shall be submitted to the Office in writing.

(b) (1) The Office will notify each complainant and the educational agency or institution against which the violation has been alleged, in writing, that the complaint has been received.

(2) The notification to the agency or institution under paragraph (b)(1) of this section shall include the substance of the alleged violation and the agency or institution shall be given an opportunity to submit a written response.

(c) (1) The Office will investigate all timely complaints received to determine whether there has been a failure to comply with the provisions of section 438 of the Act or the regulations in this part, and may permit further written or oral submissions by both parties.

(2) Following its investigation the Office will provide written notification of its findings and the basis for such findings, to the complainant and the agency or institution involved.

(3) If the Office finds that there has been a failure to comply, it will include in its notification under paragraph (c) (2) of this section, the specific steps which must be taken by the agency or educational institution to bring the agency or institution into compliance. The notification shall also set forth a reasonable period of time, given all of the circumstances of the case, for the agency or institution to voluntarily comply.

(d) If the educational agency or institution does not come into compliance within the period of time set under paragraph (c) (3) of this section, the matter will be referred to the Review Board for a hearing under §§ 99.64–99.67, inclusive.

(20 U.S.C. 1232g(f))

**§ 99.64 Termination of funding.**

If the Secretary, after reasonable notice and opportunity for a hearing by the Review Board, (1) finds that an educational agency or institution has failed to comply with the provisions of section 438 of the Act, or the regulations in this part, and (2) determines that compliance cannot be secured by voluntary means, he shall issue a decision, in writing, that no funds under any of the Federal programs referenced in § 99.1(a) shall be made available to that educational agency or institution (or, at the Secretary's discretion, to the unit of the educational agency or institution affected by the failure to comply) until there is no longer any such failure to comply.

(20 U.S.C. 1232g(f))

**§ 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. Each Panel shall consist of not less than three members of the Review Board. The Review Board may, at its discretion, sit for any hearing or class of hearings. The Chairman of the Review Board shall designate himself or any other member of a Panel to serve as Chairman.

(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: (A) Sufficient notice of the issues to be considered (where such notice has not previously been afforded); and (B) 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

afford each party an opportunity, which shall include, in addition to provisions required by subparagraph (1) (ii) of this paragraph, provisions designed to assure to each party the following:

(i) An opportunity for a record of the proceedings;

(ii) An opportunity to present witnesses on the party's behalf; and

(iii) An opportunity to cross-examine other witnesses either orally or through written interrogatories.

(20 U.S.C. 1232g(g))

**§ 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.

(20 U.S.C. 1232g(g))

**§ 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.

(20 U.S.C. 1232g(g))

[FR Doc.76-17309 Filed 6-16-76;8:45 am]

# 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 (P.L. 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

#### PURPOSE, 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 insure 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 edu-

cational 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 correctional 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), (8); 1413(a); 1413(b)(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 are included 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 C)  
Evaluation (Section 121a.500 of Subpart E)  
First priority children (Section 121a.320(a) of Subpart C)  
Independent educational evaluation (Section 121a.603 of Subpart E)  
Individualized education program (Section 121a.340 of Subpart C)

Participating agency (Section 121a.560 of Subpart E)

Personally identifiable (Section 121a.500 of Subpart E)

Private school handicapped children (Section 121a.450 of Subpart D)

Public expense (Section 121a.503 of Subpart E)

Second priority children (Section 121a.320(b) of Subpart C)

Special definition of "State" (Section 121a.700 of Subpart G)

Support services (Section 121a.370(b)(2) of Subpart C)

##### § 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,

(c) Include preschool, elementary school, or secondary school education in the State involved, and

(d) Are provided in conformity with an individualized education program which meets the requirements under §§ 121a.340-121a.349 of Subpart C.

(20 U.S.C. 1401(18).)

#### § 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 solely 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 or burns 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; 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 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, 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 partially seeing and blind children.

(20 U.S.C. 1401(1), (15).)

#### § 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.

(20 U.S.C. 1417(b).)

#### § 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 established by State law 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.

(20 U.S.C. 1401(22).)

#### § 121a.8 Local educational agency.

(a) As used in this part, the term "local educational agency" means a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or such combination of school districts or counties as are recognized in a State as an administrative agency for its public elementary or secondary schools. Such term also includes any other public institution or agency having administrative control and direction of a public elementary or secondary school.

(b) For the purposes of this part, the term "local educational agency" also includes intermediate educational units.

(20 U.S.C. 1401(9).)

#### § 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.

(20 U.S.C. 880b-1(a)(2); 1401(21).)

*Comment.* Section 602(21) of the Education of the Handicapped Act states that the term "native language" has the same meaning as the definition from the Bilingual Education Act. (The term is used in the prior notice and evaluation sections under § 121a.505(b)(2) and § 121a.532(a)(1) of Subpart E.) In using the term, the Act does not prevent the following means of communication:

(1) In all direct contact with a child (including evaluation of the child), communication would be in the language normally used by the child and not that of the parents, if there is a difference between the two.

(2) If a person is deaf or blind, or has no written language, the mode of communication would be that normally used by the person (such as sign language, braille, or oral communication).

#### § 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.

(20 U.S.C. 1415.)

*Comment.* The term "parent" is defined to include persons acting in the place of a parent, such as a grandmother or step-parent with whom a child lives, as well as persons who are legally responsible for a child's welfare.

**§ 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; and

(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 a disability 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 handicapping 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 ability to perform tasks for independent functioning when functions are impaired or lost; and

(iii) Preventing, through early intervention, initial or further impairment or loss of function.

(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) Consulting with other staff members in planning school programs to meet the special needs of children as indicated by psychological tests, interviews, and behavioral evaluations; and

(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 to 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, the Senate Report states:

The Committee bill provides a definition of "related services," making clear that all such related services may not be required for each individual child and that such term includes early identification and assessment of handicapping conditions and the provision of services to minimize the effects of such conditions.

(Senate Report No. 94-168, p.12 (1975).)

The list of related services is not exhaustive and may include other developmental, corrective, or supportive services (such as artistic and cultural programs, and art, music, and 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, counseling services might be provided by 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) (1) As used in this part, the term "special education" means specially designed instruction, at no cost to the parent, 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, or any other related service, if the service consists 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 education program.

(2) "Physical education" is defined as follows:

(i) The term means the development of:

(A) Physical and motor fitness;  
(B) Fundamental motor skills and patterns; and

(C) Skills in aquatics, dance, and individual and group games and sports (including intramural and lifetime sports).

(H) The term includes special physical education, adapted physical education, movement education, and motor development.

(20 U.S.C. 1401(16).)

(3) "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.

(20 U.S.C. 1401(16).)

*Comment.* (1) The definition of "special education" is a particularly important one under these regulations, since a child is not handicapped unless he or she needs special education. (See the definition of "handicapped children" in section 121a.5.) The definition of "related services" (section 121a.13) also depends on this definition, since a related service must be necessary for a child to benefit from special education. Therefore, if a child does not need special education, there can be no "related services," and the child (because not "handicapped") is not covered under the Act.

(2) The above definition of vocational education is taken from the Vocational Education Act of 1963, as amended by Pub. L. 94-482. Under that Act, "vocational education" includes industrial arts and consumer and homemaking education programs.

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#### 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 22675; 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 to the same extent that the needs of nonhandicapped persons are met). Subpart D of the section 504 regulations ("Pre-school, Elementary, and Secondary Education") contains requirements very similar to those in Part B of the Education of the Handicapped Act.

Basically, both require that handicapped persons be provided a free appropriate public education; that handicapped students be educated with nonhandicapped students to the extent appropriate; that educational agencies identify and locate all unserved handicapped children; that evaluation procedures be adopted to insure appropriate classification and educational services; and that procedural safeguards be established.

In several respects, however, the section 504 regulations are broader in coverage than

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 children" 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 (§ 84.3(j)).

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; postsecondary education and health, welfare and social services). On the other side, Part B contains a substantial number of administrative requirements not included under section 504 (for example, annual program plans and local applications) and requires more detailed procedures and policies in many instances (such as due process procedures).

In several instances, the section 504 regulations specifically reference where a requirement may be met by complying with a

#### § 121a.15 State.

As used in this part, the term "State" means each of the several States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virginia Islands, and the Trust Territory of the Pacific Islands.

(20 U.S.C. 1401(6).)

requirement under Part B. For example, § 84.33(b)(2), dealing with appropriate education, cites implementation of an individualized education program as one means of meeting the requirement. Section 84.33(d) has a September 1, 1978 outside date for providing an appropriate education to qualified handicapped persons (conforming to the timelines in Part B). Section 84.35(d) indicates that a reevaluation procedure consistent with the Part B requirements is one means of meeting the reevaluation requirements under section 504. Section 84.36, dealing with due process requirements, indicates that compliance with the procedural safeguards in Part B is one means of meeting those requirements.

It should be noted that the term "free appropriate public education" (FAPE) has different meanings under Part B and section 504. For example, under Part B, "FAPE" is a statutory term which requires special education and related services to be provided in accordance with an individualized education program. However, under section 504, each recipient must provide an education which includes "the provision of regular or special education and related aids and services that (1) are designed to meet individual educational needs of handicapped persons as adequately as the needs of nonhandicapped persons are met \* \* \*"

## PART II. RIGHTS OF HANDICAPPED PERSONS UNDER SECTION 504 OF THE REHABILITATION ACT OF 1973, AS AMENDED<sup>1</sup>

In September 1973, Congress passed a law that prohibits discrimination on the basis of physical or mental handicap in every federally assisted program or activity in the country. That law is Section 504 of the Rehabilitation Act.

Section 504 states that: "No otherwise qualified handicapped individual in the United States . . . shall, solely by reason of his handicap, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."

<sup>1</sup>From Section 504 of the Rehabilitation Act of 1973—Fact Sheet, U.S. Department of Health, Education, and Welfare, Office for Civil Rights, July 1977.



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

The materials which follow are a segment of the rules and regulations applying to Section 504 of the Rehabilitation Act of 1973, as amended (P.L. 93-112, as amended by the Rehabilitation Act Amendments of 1974; P.L.

93-516; 45 C.F.R. Part 84). Also included are portions of an appendix analyzing these rules and regulations. Persons determining their responsibilities under these regulations should consult a complete version of the most recent applicable regulations.

#### Subpart A—General Provisions

##### § 84.1 Purpose.

The purpose of this part is to effectuate section 504 of the Rehabilitation Act of 1973, which is designed to eliminate discrimination on the basis of handicap in any program or activity receiving Federal financial assistance.

##### § 84.2 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.

##### § 84.3 Definitions.

As used in this part, the term:

(a) "The Act" means the Rehabilitation Act of 1973, Pub. L. 93-112, as amended by the Rehabilitation Act Amendments of 1974, Public Law 93-516, 29 U.S.C. 794.

(b) "Section 504" means section 504 of the Act.

(c) "Education of the Handicapped Act" means that statute as amended by the Education for all Handicapped Children Act of 1975, Pub. L. 94-142, 20 U.S.C. 1401 et seq.

(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 Federal financial assistance is extended directly or through another recipient, including any successor, assignee, or transferee of a recipient, but excluding the ultimate beneficiary of the 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 guaranty), or any other arrangement by which the Department provides or otherwise makes available assistance in the form of:

(1) Funds;

(2) Services of Federal personnel; or

(3) Real and personal property or any interest in or use of such property, including:

(i) Transfers or leases 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 returned to the Federal Government.

(i) "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.

(j) "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) (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 sense organs; 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 misclassified 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 (j) (2) (i) of this section but is treated by a recipient as having such an impairment.

(k) "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 preschool, elementary, secondary, or 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 a free appropriate public education under § 612 of the Education of the Handicapped Act; and

(3) With respect to postsecondary and vocational education services, a handicapped person who meets 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.

(l) "Handicap" means any condition or characteristic that renders a person a handicapped person as defined in paragraph (j) of this section.

##### § 84.4 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, directly or through contractual, licensing, or other arrangements, on the basis of handicap:

(i) Deny a qualified handicapped person the opportunity to participate in or benefit from the aid, benefit, or service;

(ii) Afford a qualified handicapped person an opportunity to participate in or benefit from the aid, benefit, or service that is not equal to that afforded others;

(iii) Provide a qualified handicapped person with an aid, benefit, or service that is not as effective as that provided to others;

(iv) Provide different or separate aid, benefits, or services to handicapped persons or to any class of handicapped persons unless such action is necessary to provide qualified handicapped persons with aid, benefits, or services that are as effective as those provided to others;

(v) Aid or perpetuate discrimination against a qualified handicapped person by providing significant assistance to an agency, organization, or person that discriminates on the basis of handicap in providing any aid, benefit, or service to beneficiaries of the recipient's program;

(vi) Deny a qualified handicapped person the opportunity to participate as a member of planning or advisory boards; or

(vii) Otherwise limit a qualified handicapped person in the enjoyment of any right, privilege, advantage, or opportunity enjoyed by others receiving an aid, benefit, or service.

(2) For purposes of this part, aids, benefits, and services, to be equally effective, are not required to produce the identical result or level of achievement for handicapped and nonhandicapped persons, but must afford handicapped persons equal opportunity to obtain the same result, to gain the same benefit, or to reach the same level of achievement, in the most integrated setting appropriate to the person's needs.

(3) Despite the existence of separate or different programs or activities provided in accordance with this part, a recipient may not deny a qualified handicapped person the opportunity to partici-

pate in such programs or activities that are not separate or different.

(4) A recipient may not, directly or through contractual or other arrangements, utilize criteria or methods of administration (i) that have the effect of subjecting qualified handicapped persons to discrimination on the basis of handicap, (ii) that have the purpose or effect of defeating or substantially impairing accomplishment of the objectives of the recipient's program with respect to handicapped persons, or (iii) that perpetuate the discrimination of another recipient if both recipients are subject to common administrative control or are agencies of the same State.

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(c) *Programs limited by Federal law.* The exclusion of nonhandicapped persons from the benefits of a program limited by Federal statute or executive order to handicapped persons or the exclusion of a specific class of handicapped persons from a program limited by Federal statute or executive order to a different class of handicapped persons is not prohibited by this part.

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#### Subpart B—Employment Practices

##### § 84.11 Discrimination prohibited.

(a) *General.* (1) No qualified handicapped person shall, on the basis of handicap, be subjected to discrimination in employment under any program or activity to which this part applies.

(2) A recipient that receives assistance under the Education of the Handicapped Act shall take positive steps to employ and advance in employment qualified handicapped persons in programs assisted under that Act.

(3) A recipient shall make all decisions concerning employment under any program or activity to which this part applies in a manner which ensures that discrimination on the basis of handicap does not occur and may not limit, segregate, or classify applicants or employees in any way that adversely affects their opportunities or status because of handicap.

(4) A recipient may not participate in a contractual or other relationship that has the effect of subjecting qualified handicapped applicants or employees to discrimination prohibited by this subpart. The relationships referred to in this subparagraph include relationships with employment and referral agencies, with labor unions, with organizations providing or administering fringe benefits to employees of the recipient, and with organizations providing training and apprenticeship programs.

(b) *Specific activities.* The provisions of this subpart apply to:

(1) Recruitment, advertising, and the processing of applications for employment;

(2) Hiring, upgrading, promotion, award of tenure, demotion, transfer, lay-

off, termination, right of return from lay-off, and rehiring;

(3) Rates of pay or any other form of compensation and changes in compensation;

(4) Job assignments, job classifications, organizational structures, position descriptions, lines of progression, 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 financial support for training, including apprenticeship, professional meetings, conferences, and other related activities, and selection for leaves of absence to pursue training;

(8) Employer sponsored activities, including social or recreational programs; and

(9) Any other term, condition, or privilege of employment.

(c) A recipient's obligation to comply with this subpart is not affected by any inconsistent term of any collective bargaining agreement to which it is a party.

##### § 84.12 Reasonable accommodation.

(a) A recipient shall make reasonable accommodation to the known physical or mental limitations of an otherwise qualified handicapped applicant 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) of this section 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 operation, including the composition and structure of the recipient's workforce; and

(3) The nature and cost of the accommodation needed.

(d) A recipient may not deny any employment opportunity to a qualified handicapped employee or applicant if the basis for the denial is the need to make reasonable accommodation to the physical or mental limitations of the employee or applicant.

##### § 84.13 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 handicapped persons or any class of handicapped persons unless: (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 as many handicapped persons are not shown by the Director to be available.

(b) A recipient shall select and administer tests concerning employment so as best to ensure that, when 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 (except where those skills are the factors that the test purports to measure).

##### § 84.14 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 a handicapped person or as to the nature or severity of a handicap. A recipient may, however, make preemployment inquiry into an applicant's ability to perform job-related functions.

(b) When a recipient is taking remedial action to correct the effects of past discrimination pursuant to § 84.6 (a), when a recipient is taking voluntary action to overcome the effects of conditions that resulted in limited participation in its federally assisted program or activity pursuant to § 84.6 (b), or when a recipient is taking affirmative action pursuant to section 503 of the Act, the recipient may invite applicants for employment 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 obligations or its voluntary or affirmative action efforts; and

(2) The recipient states clearly that the information is being requested on a voluntary basis, that it will be kept confidential as provided in paragraph (d) of this section, that refusal to provide it will not subject the applicant or employee to any adverse treatment, and that it will be used only in accordance with this part.

(c) Nothing in this section shall prohibit a recipient from conditioning an offer of employment on the results of a medical examination conducted prior to the employee's entrance on duty. *Provided, That:* (1) All entering employees are subjected to such an examination regardless of handicap, and (2) the results of such an examination are used only in accordance with the requirements of this part.

(d) Information obtained in accordance with this section as to the medical condition or history of the applicant shall be collected and maintained on separate forms that shall be accorded confidentiality as medical records, except that:

(1) Supervisors and managers may be informed regarding restrictions on the

work or duties of handicapped persons and regarding necessary accommodations;

(2) First aid and safety personnel may be informed, where appropriate, if the condition might require emergency treatment; and

(3) Government officials investigating compliance with the Act shall be provided relevant information upon request.

#### §§ 84.15—84.20 [Reserved]

#### Subpart C—Program Accessibility

##### § 84.21 Discrimination prohibited.

No qualified handicapped person shall, because a recipient's facilities are inaccessible to or unusable by handicapped persons, be denied the benefits of, be excluded from participation in, or otherwise be subjected to discrimination under any program or activity to which this part applies.

##### § 84.22 Existing facilities.

(a) *Program accessibility.* A recipient shall operate each 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 alternate 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.

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#### Subpart D—Preschool, Elementary, and Secondary Education

##### § 84.31 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.

##### § 84.32 Location and notification.

A recipient that operates a public elementary or secondary education program shall annually:

(a) Undertake to identify and locate every qualified handicapped person residing in the recipient's jurisdiction who is not receiving a public education; and

(b) Take appropriate steps to notify handicapped persons and their parents or guardians of the recipient's duty under this subpart.

##### § 84.33 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 (i) are designed to meet individual educational needs of handicapped persons as adequately as the needs of nonhandicapped persons are met and (ii) are based upon adherence to procedures that satisfy the requirements of §§ 84.34, 84.35, and 84.36.

(2) Implementation of an individualized education program developed in accordance with the Education of the Handicapped Act is one means of meeting the standard established in paragraph (b) (1) (i) of this section.

(3) A recipient may place a handicapped person in or refer such person to a program other than the one that it operates as its means of carrying out the requirements of this subpart. If so, the recipient remains responsible for ensuring that the requirements of this subpart are met with respect to any handicapped person so placed or referred.

(c) *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, except for those fees that are imposed on nonhandicapped persons or their parents or guardian. It may consist either of the provision of free services or, if a recipient places a handicapped person in or refers such person to a program not operated by the recipient as its means of carrying out the requirements of this subpart, of payment for the costs of the program. Funds available from any public or private agency may be used to meet the requirements of this subpart. Nothing in this section shall be construed to relieve an insurer or similar third party from an otherwise valid obligation to provide or pay for services provided to a handicapped person.

(2) *Transportation.* If a recipient places a handicapped person in or refers such person to a program not operated by the recipient as its means of carrying out the requirements of this subpart, the recipient shall ensure that adequate transportation to and from the program is provided at no greater cost than would be incurred by the person or his or her parents or guardian if the person were

placed in the program operated by the recipient.

(3) *Residential placement.* If placement in a public or private residential program is necessary to provide a free appropriate public education to a handicapped person because of his or her handicap, the program, including non-medical care and room and board, shall be provided at no cost to the person or his or her parents or guardian.

(4) *Placement of handicapped persons by parents.* If a recipient has made available, in conformance with the requirements of this section and § 84.34, a free appropriate public education to a handicapped person and the person's parents or guardian choose to place the person in a private school, the recipient is not required to pay for the person's education in the private school. Disagreements between a parent or guardian and a recipient regarding whether the recipient has made such a program available or otherwise regarding the question of financial responsibility are subject to the due process procedures of § 84.36.

(d) *Compliance.* A recipient may not exclude any qualified handicapped person from a public elementary or secondary education after the effective date of this part. A recipient that is not, on the effective date of this regulation, in full compliance with the other requirements of the preceding paragraphs of this section shall meet such requirements at the earliest practicable time and in no event later than September 1, 1978.

##### § 84.34 Educational setting.

(a) *Academic setting.* A recipient to which this subpart applies shall educate, or shall provide for the education of, each qualified handicapped person in its jurisdiction with persons who are not handicapped to the maximum extent appropriate to the needs of the handicapped person. A recipient shall place a handicapped person in the regular educational environment operated by the recipient unless it is demonstrated by the recipient that the education of the person in the regular environment with the use of supplementary aids and services cannot be achieved satisfactorily. Whenever a recipient places a person in a setting other than the regular educational environment pursuant to this paragraph, it shall take into account the proximity of the alternate setting to the person's home.

(b) *Nonacademic settings.* In providing or arranging for the provision of nonacademic and extracurricular services and activities, including meals, recess periods, and the services and activities set forth in § 84.37(a) (2), a recipient shall ensure that handicapped persons participate with nonhandicapped persons in such activities and services to the maximum extent appropriate to the needs of the handicapped person in question.

(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 other facilities, services, and activities of the recipient.

**§ 84.35 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 of any person who, because of handicap, needs or is believed to need special education or related services before taking any action with respect to the initial placement of the person in a regular or special education program and any subsequent significant change in placement.

(b) *Evaluation procedures.* 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:

(1) Tests and other evaluation materials have been validated for the specific purpose for which they are used and are administered by trained personnel in conformance with the instructions provided by their producer;

(2) Tests and other evaluation materials include those tailored to assess specific areas of educational need and not merely those which are designed to provide a single general intelligence quotient; and

(3) 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 interpreting evaluation data and in making placement decisions, a recipient shall (1) draw upon information from a variety of sources, including aptitude and achievement tests, teacher recommendations, 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 § 84.34.

(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 for the Handicapped Act is one means of meeting this requirement.

**§ 84.36 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 handi-

cap, need or are believed to need special instruction or related services, a system of procedural safeguards 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 section 615 of the Education of the Handicapped Act is one means of meeting this requirement.

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**§ 84.38 Preschool and adult education programs.**

A recipient to which this subpart applies that operates a preschool education or day care program or activity or an adult education program or activity may not, on the basis of handicap, exclude qualified handicapped persons from the program or activity and shall take into account the needs of such persons in determining the aid, benefits, or services to be provided under the program or activity.

**§ 84.39 Private education programs.**

(a) A recipient that operates a private elementary or secondary education program may not, on the basis of handicap, exclude a qualified handicapped person from such program if the person can, with minor adjustments, be provided an appropriate education, as defined in § 84.33(b)(1), within the recipient's program.

(b) 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 any additional charge is justified by a substantial increase in cost to the recipient.

(c) A recipient to which this section applies that operates special 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.

**§ 84.40 [Reserved]**

**Subpart E—Postsecondary Education**

**§ 84.41 Application of this subpart.**

Subpart E applies to postsecondary education programs and activities, including postsecondary vocational 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.

**§ 84.42 Admissions and recruitment.**

(a) *General.* Qualified handicapped persons may not, on the basis of handicap, be denied admission or be subjected to discrimination in admission or recruitment by a recipient to which this subpart applies.

(b) *Admissions.* In 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;

(2) May not make use of any test or criterion for admission that has a disproportionate, adverse effect on handicapped persons or any class of 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 in question and (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) admissions 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; and

(4) Except as provided in paragraph (c) of this section, may not make preadmission inquiry as to whether an applicant for admission is a handicapped person but, after admission, may make inquiries on a confidential basis as to handicaps that may require accommodation.

(c) *Preadmission inquiry exception.* When a recipient is taking remedial action to correct the effects of past discrimination pursuant to § 84.6(a) or when a recipient is taking voluntary action to overcome the effects of conditions that resulted in limited participation in its federally assisted program or activity pursuant to § 84.6(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 obligations or its voluntary action efforts; and

(2) The recipient states clearly that the information is being requested on a voluntary basis, that it will be kept confidential, that refusal to provide it will not subject the applicant to any adverse treatment, and that it will be used only in accordance with this part.

(d) *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 validity studies against the criterion of overall success in the education program or activity in question in order to monitor the general validity of the test scores.

§ 84.43 Treatment of students: general.

(a) No qualified handicapped student shall, on the basis of handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any academic, research, occupational training, housing, health, insurance, counseling, financial 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 wholly 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.

§ 84.44 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 or have the effect of discriminating, on the basis of handicap, against a qualified handicapped applicant or student. Academic requirements that the recipient can demonstrate are essential to the program of instruction being pursued by such student or to any directly related licensing requirement will not be regarded as discriminatory within the meaning of this section. Modifications may include changes in the length of time permitted for the completion of degree requirements, substitution of specific courses required for the completion of degree requirements, and adaptation of the manner in which specific courses are conducted.

(b) *Other rules.* A recipient to which this subpart applies may not 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 limiting the participation of handicapped students in the recipient's education program or activity.

(c) *Course examinations.* In its course examinations or other procedures for evaluating students' academic achievement in its program, a recipient to which this subpart applies shall provide such methods for evaluating the achievement of students who have a handicap that impairs sensory, manual, or speaking skills as will best ensure that the results of the evaluation represents the student's achievement in the course, rather than reflecting the student's impaired sensory, manual, or speaking skills (except where such skills are the factors that the test purports to measure).

(d) *Auxiliary aids.* (1) A recipient to which this subpart applies shall take such steps as are necessary to ensure that no handicapped student is denied the benefits of, excluded from participation in, or otherwise subjected to discrimination under the education program or activity operated by the recipient because of the absence of educational auxiliary aids for students with impaired sensory, manual, or speaking skills.

(2) Auxiliary aids may include taped texts, interpreters or other effective methods of making orally delivered materials available to students with hearing impairments, readers in libraries for students with visual impairments, classroom equipment adapted for use by students with manual impairments, and other similar services and actions. Recipients need not provide attendants, individually prescribed devices, readers for personal use or study, or other devices or services of a personal nature.

§ 84.45 Housing.

(a) *Housing provided by the recipient.* A recipient that provides housing to its nonhandicapped students shall provide comparable, convenient, and accessible housing to handicapped students at the same cost as to others. At the end of the transition period provided for in Subpart C, such housing shall be 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 housing.* A recipient that assists any agency, organization, or person in making housing available to any of its students shall take such action as may be necessary to assure itself that such housing is, as a whole, made available in a manner that does not result in discrimination on the basis of handicap.

§ 84.46 Financial and employment assistance to students.

(a) *Provision of financial assistance.* (1) In providing financial assistance to qualified handicapped persons, a recipient to which this subpart applies may not (i), on the basis of handicap, provide less assistance than is provided to nonhandicapped persons, limit eligibility for assistance, or otherwise discriminate or (ii) assist any entity or person that provides assistance to any of the recipient's students in a manner that discriminates against qualified handicapped persons on the basis of handicap.

(2) A recipient may administer or assist in the administration of scholarships, fellowships, or other forms of financial assistance established under wills, trusts, bequests, or similar legal instruments that require awards to be made on the basis of factors that discriminate or have the effect of discriminating on the basis of handicap only if the overall effect of the award of scholarships, fellowships, and other forms of financial assistance is not discriminatory on the basis of handicap.

(b) *Assistance in making available outside employment.* A recipient that assists any agency, organization, or person in providing employment opportunities to any of its students shall assure itself that such employment opportunities, as a whole, are made available in a man-

ner that would not violate Subpart B if they were provided by the recipient.

(c) *Employment of students by recipients.* A recipient that employs any of its students may not do so in a manner that violates Subpart B.

§ 84.47 Nonacademic services.

(a) *Physical education and athletics.* (1) In providing 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 or sponsors intercollegiate, club, or intramural athletics shall provide to qualified handicapped students an equal opportunity for participation in these activities.

(2) A recipient 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 § 84.43(d) and only if no qualified handicapped student is denied the opportunity to compete for teams or to participate in courses that are not separate or different.

(b) *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 ensure that qualified handicapped students are not counseled toward more restrictive career 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.

(c) *Social organizations.* A recipient that provides significant assistance to fraternities, sororities, or similar organizations shall assure itself that the membership practices of such organizations do not permit discrimination otherwise prohibited by this subpart.

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SUBPART D—PRESCHOOL, 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. In this context, the term "adult education" refers only to those educational programs and activities for adults that are operated by elementary and secondary schools.

The provisions of Subpart D apply to state and local educational agencies. Although the subpart applies, in general, to both public and private education programs and activities that are federally assisted, §§ 84.32 and 84.33 apply only to public programs and § 84.39 applies only to private programs; §§ 84.35 and 84.36 apply both to public programs and to those private programs that include special services for handicapped students.

## SUBPART E—POSTSECONDARY EDUCATION

Subpart E prescribes requirements for non-discrimination in recruitment, admission, and treatment of students in postsecondary education programs and activities, including vocational education.

29. *Admission and recruitment.* In addition to a general prohibition of discrimination on the basis of handicap in § 84.42(a), the regulation delineates, in § 84.42(b), specific prohibitions concerning the establishment of limitations on admission of handicapped students, the use of tests or selection criteria, and preadmission inquiry. Several changes have been made in this provision.

Section 84.42(b) provides that postsecondary educational institutions may not use any test or criterion for admission that has a disproportionate, adverse effect on handicapped persons unless it has been validated as a predictor of academic success and alternate tests or criteria with a less disproportionate, adverse effect are shown by the Department to be available. There are two significant changes in this approach from the July 16 proposed regulation.

First, many commenters expressed concern that § 84.42(b)(2)(ii) could be interpreted to require a "global search" for alternate tests that do not have a disproportionate, adverse impact on handicapped persons. This was not the intent of the provision and, therefore, it has been amended to place the burden on the Director of the Office for Civil Rights, rather than on the recipient, to identify alternate tests.

Second, a new paragraph (d), concerning validity studies, has been added. Under the proposed regulation, overall success in an education program, not just first-year grades, was the criterion against which admissions tests were to be validated. This approach has been changed to reflect the comment of professional testing services that use of first-year grades would be less disruptive of present practice and that periodic validity studies against overall success in the education program would be sufficient check on the reliability of first-year grades.

Section 84.42(b)(3) also requires a recipient to assure itself that admissions tests are selected and administered to applicants with impaired sensory, manual, or speaking skills in such manner as is necessary to avoid unfair distortion of test results. Methods have been developed for testing the aptitude and achievement of persons who are not able to take written tests or even to make the marks required for mechanically scored objective tests; in addition, methods for testing persons with visual or hearing impairments are available. A recipient, under this paragraph, must assure itself that such methods are used with respect to the selection and administration of any admissions tests that it uses.

Section 84.42(b)(3)(iii) has been amended to require that admissions tests be administered in facilities that, on the whole, are accessible. In this context, "on the whole" means that not all of the facilities need be accessible so long as a sufficient number of facilities are available to handicapped persons.

Revised § 84.42(b)(4) generally prohibits preadmission inquiries as to whether an applicant has a handicap. The considerations that led to this revision are similar to those underlying the comparable revision of § 84.14 on preemployment inquiries. The regulation does, however, allow inquiries to be made, after admission but before enrollment, as to handicaps that may require accommodation.

New paragraph (c) parallels the section on preemployment inquiries and allows postsecondary institutions to inquire about applicants' handicaps before admission, subject to certain safeguards, if the purpose of the inquiry is to take remedial action to correct past discrimination or to take voluntary

action to overcome the limited participation of handicapped persons in postsecondary educational institutions.

Proposed § 84.42(c), which would have allowed different admissions criteria in certain cases for handicapped persons, was widely misinterpreted in comments from both handicapped persons and recipients. We have concluded that the section is unnecessary, and it has been deleted.

30. *Treatment of students.* Section 84.43 contains general provisions prohibiting the discriminatory treatment of qualified handicapped applicants. Paragraph (b) requires recipients to ensure that equal opportunities are provided to its 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 as a whole 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 in elementary or secondary schools not operated by the college. Under the "as a whole" wording, the college could continue to use elementary or secondary school systems that discriminate if, and only if, the college's student teaching program, when viewed in its entirety, offered handicapped student teachers the same range and quality of choice in student teaching assignments afforded nonhandicapped students.

Paragraph (c) of this section prohibits a recipient from excluding qualified handicapped students from any course, course of study, or other part of its education program or activity. This paragraph is designed to eliminate the practice of excluding handicapped persons from specific courses and from areas of concentration because of factors such as ambulatory difficulties of the student or assumptions by the recipient that no job would be available in the area in question for a person with that handicap.

New paragraph (d) requires postsecondary institutions to operate their programs and activities so that handicapped students are provided services in the most integrated setting appropriate. Thus, if a college had several elementary physics classes and had moved one such class to the first floor of the science building to accommodate students in wheelchairs, it would be a violation of this paragraph for the college to concentrate handicapped students with no mobility impairments in the same class.

31. *Academic adjustments.* Paragraph (a) of § 84.44 requires that a recipient make certain adjustments to academic requirements and practices that discriminate or have the effect of discriminating on the basis of handicap. This requirement, like its predecessor in the proposed regulation, does not obligate an institution to waive course or other academic requirements. But such institutions must accommodate those requirements to the needs of individual handicapped students. For example, an institution might permit an otherwise qualified handicapped student who is deaf to substitute an art appreciation or music history course for a required course in music appreciation or could modify the manner in which the music appreciation course is conducted for the deaf student. It should be stressed that academic requirements that can be demonstrated by the recipient to be essential to its program of instruction or to particular degrees need not be changed.

Paragraph (b) provides that postsecondary institutions may not impose rules that have the effect of limiting the participation of handicapped students in the education program. Such rules include prohibition of tape recorders or brailers in classrooms and dog guides in campus buildings. Several recipients expressed concern about allowing students to tape record lectures because the professor may later want to copyright the lectures. This problem may be solved by requir-

ing students to sign agreements that they will not release the tape recording or transcription or otherwise hinder the professor's ability to obtain a copyright.

Paragraph (c) of this section, concerning the administration of course examinations to students with impaired sensory, manual, or speaking skills, parallels the regulation's provisions on admissions testing (§ 84.42(b)) and will be similarly interpreted.

Under § 84.44(d), a recipient must ensure that no handicapped student is subject to discrimination in the recipient's program because of the absence of necessary auxiliary educational aids. Colleges and universities expressed concern about the costs of compliance with this provision.

The Department emphasizes that recipients can usually meet this obligation by assisting students in using existing resources for auxiliary aids such as state vocational rehabilitation agencies and private charitable organizations. Indeed, the Department anticipates that the bulk of auxiliary aids will be paid for by state and private agencies, not by colleges or universities. In those circumstances where the recipient institution must provide the educational auxiliary aid, the institution has flexibility in choosing the methods by which the aids will be supplied. For example, some universities have used students to work with the institution's handicapped students. Other institutions have used existing private agencies that tape texts for handicapped students free of charge in order to reduce the number of readers needed for visually impaired students.

As long as no handicapped person is excluded from a program because of the lack of an appropriate aid, the recipient need not have all such aids on hand at all times. Thus, readers need not be available in the recipient's library at all times so long as the schedule of times when a reader is available is established, is adhered to, and is sufficient. Of course, recipients are not required to maintain a complete braille library.

32. *Housing.* Section 84.45(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. Commenters, particularly blind persons, pointed out that some handicapped persons can live in any college housing and need not wait to the end of the transition period in Subpart C to be offered the same variety and scope of housing accommodations given to nonhandicapped persons. The Department concurs with this position and will interpret this section accordingly.

A number of colleges and universities reacted negatively to paragraph (b) of this section. It provides that, if a recipient assists in making off-campus housing available to its students, it should develop and implement procedures to assure itself that off-campus housing, as a whole, is available to handicapped students. Since postsecondary institutions are presently required to assure themselves that off-campus housing is provided in a manner that does not discriminate on the basis of sex (§ 85.32 of the title IX regulation), they may use the procedures developed under title IX in order to comply with § 84.45(b). It should be emphasized that not every off-campus living accommodation need be made accessible to handicapped persons.

33. *Health and insurance.* Section 84.46 of the proposed regulation, providing that recipients may not discriminate on the basis of handicap in the provision of health and related services, has been deleted as duplicative of the general provisions of section 84.43. This deletion represents no change in the obligation of recipients to provide nondiscriminatory health and insurance plans. The Department will continue to require that nondiscriminatory health services be provided to handicapped students. Recipients are



not required, however, to provide specialized services and aids to handicapped persons in health programs. If, 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 instru-

ments 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.<sup>1</sup> 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.<sup>2</sup>

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-step procedure. First preliminary recommendations on the handbook's overall organization and content were obtained by mail from 40 persons specifically selected for

<sup>1</sup>See "Review of Existing Terminology Base" on page 164.

<sup>2</sup>Government Studies & Systems, Inc., *Postsecondary Education Policy Issues and Related Standard Terminology Needs*. A report prepared for the National Center for Education Sta-

tistics, 1980. Submitted to the Educational Resources Information Center (ERIC). See also "Analysis of Issues in Postsecondary Education" on page 166.

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*,<sup>3</sup>
2. *Definitions of Student Personnel Terms in Higher Education*,<sup>4</sup>
3. Relevant portions of the *NCFPE National Postsecondary Education Data Base Directory*,<sup>5</sup>
4. The student section and other pertinent parts of the *Education Data Elements Dictionary*,<sup>6</sup> and
5. Data element dictionaries of postsecondary educational institutions (e.g., those of the Illinois Community College System,<sup>7</sup> California State

<sup>3</sup>Suzette Doddard, James S. Martin, and Leonard C. Romney, *Data Element Dictionary: Second Edition* (Boulder, Colorado: National Center for Higher Education Management Systems at the Western Interstate Commission for Higher Education, 1973), chapter 5.

<sup>4</sup>National Center for Education Statistics and American Association of Collegiate Registrars and Admissions Officers, *Definitions of Student Personnel Terms in Higher Education* (Washington, D.C.: U.S. Government Printing Office, 1968).

<sup>5</sup>National Commission for Financing Postsecondary Education, *NCFPE National Postsecondary Education Data Base Directory* (Washington, D.C.: U.S. Government Printing Office, 1974).

<sup>6</sup>James A. Welch and Linda M. Jackson, eds., *Education Data Elements Dictionary, Second Edition* (Washington: Institute for Services to Education, Inc., 1973), pp. 21-44.

<sup>7</sup>*Illinois Community College Board Management Information System: Data Base Directory*, Draft Report, April 1974.

University and Colleges,<sup>8</sup> and selected State systems).

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.*<sup>9</sup> 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),*<sup>10</sup> *Preliminary Manual About Adult/Continuing Education* (unpublished),<sup>11</sup> *Guidelines for Identifying, Classifying, and Serving the Disadvantaged and Handicapped Under the Vocational Education Amendments of 1968 (OE 73-11700),*<sup>12</sup> *Vocational Education: Characteristics of Students and Staff, 1972 (NCES 74-169),*<sup>13</sup> and *Schools for Careers: An Analysis of Occupational Courses Offered by Secondary and Postsecondary Schools, 1971 (NCES 75-160).*<sup>14</sup>

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,*<sup>15</sup> covers terms and definitions about students in elementary/secondary education, adult/continuing education, and community/junior colleges. Accordingly,

<sup>10</sup>Imogene E. Okes, *Participation in Adult Education, Final Report, 1969,* U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1974).

<sup>11</sup>Victor C. Gideon et al., *Terminology About Adult/Continuing Education: A Preliminary Structure and a Suggested Development Process* (Boston, November 1971). Draft for discussion only.

<sup>12</sup>Evelyn R. Kay, Barbara H. Kemp, and Frances G. Saunders, *Guidelines for Identifying, Classifying, and Serving the Disadvantaged and Handicapped Under the Vocational Education Amendments of 1968,* U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1973).

<sup>13</sup>Nicholas A. Osso, *Vocational Education: Characteristics of Students and Staff, 1972,* U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1974).

<sup>14</sup>Robert R. Calvert, Jr., Evelyn R. Kay, and Nicholas A. Osso, *Schools for Careers: An Analysis of Occupational Courses Offered by Secondary and Postsecondary Schools, 1971,* U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1975).

<sup>15</sup>John F. Putnam, *Student/Pupil Accounting: Standard Terminology and Guide for Managing Student Data in Elementary and Secondary Schools, Community/Junior Colleges, and Adult Education.* State Educational Records and Reports Series: Handbook V, Revised, U.S. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1974).

<sup>8</sup>California State University and Colleges Enrollment Reporting System—Transmittal 8 and Data Element Dictionary (Los Angeles: California State University, August 1974).

<sup>9</sup>Robert A. Huff and Marjorie O. Chandler, *A Taxonomy of Instructional Programs in Higher Education,* U.S. Department of Health, Education, and Welfare, National Center for Education Statistics, (Washington, D.C.: U.S. Government Printing Office, 1970).

the terms and definitions in this handbook may be communicated, with appropriate safeguards for confidentiality, among secondary and postsecondary educational institutions, testing services, and governmental agencies, as a means of providing information about students' identity, characteristics, and performance at the secondary level.

Handbook VI, *Standard Terminology for Curriculum and Instruction in Local and State School Systems*,<sup>16</sup> 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 education students preparing to enter postsecondary educational institutions, and of some students already enrolled in postsecondary educational institutions, particularly those in vocational and technical programs.

Among other relevant handbooks in the State Educational Records and Reports Series are Handbook VII, *The State Education Agency* (1971),<sup>17</sup> which provides terminology and guidance for recording and reporting information about education agencies at the State level, and Handbook X, *Educational Technology*,<sup>18</sup> with terminology and guidance for recording and reporting information about the delivery of instruction at all institutional levels.

## ANALYSIS OF ISSUES IN POSTSECONDARY EDUCATION

Planners and policymakers in postsecondary education 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 fundamental question "For whom is postsecondary education 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 developments, new kinds of delivery systems have been introduced. 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 postsecondary education,
2. Restructuring of the educational system,
3. Coalescence of educational program content and employment requirements to meet national manpower 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" required to provide essential data about the issues. Issue-related items and terms were extracted from these "reports."<sup>19</sup>

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.

<sup>16</sup>John F. Putnam and W. Dale Chismore, *Standard Terminology for Curriculum and Instruction in Local and State School Systems*. State Educational Records and Reports Series: Handbook VI, U.S. Department of Health, Education, and Welfare, Office of Education (Washington, D.C.: U.S. Government Printing Office, 1970).

<sup>17</sup>Yeuell Y. Harris and Ivan N. Seibert, *The State Education 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, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1971).

<sup>18</sup>Ivan 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. Department of Health, Education, and Welfare, National Center for Education Statistics (Washington, D.C.: U.S. Government Printing Office, 1975).

<sup>19</sup>Government Studies & Systems, Inc., *Postsecondary Education Policy Issues and Related Standard Terminology Needs*. A report prepared for the National Center for Education Statistics, 1980. Submitted to the Educational Resources Information Center (ERIC).

## Appendix M

### ABBREVIATIONS AND ACRONYMS USED IN THE HANDBOOK

AACRAO.....	American Association of Collegiate Registrars and Admissions Officers	HEGIS.....	Higher Education General Information Survey
B.A. ....	Bachelor of Arts	INS.....	United States Immigration and Naturalization Service
M.Div.; M.H.L. ...	Theological professions (Master of divinity and master of Hebrew letters)	J.D. ....	Juris doctor
CEU.....	Continuing education unit	LL.B. ....	Bachelor of laws
CLEP.....	College Level Examination Program	LL.M. ....	Master of laws
D.B.A. ....	Doctor of business administration	M.B.A. ....	Master of business administration
D.D.S. ....	Doctor of dental surgery	M.D. ....	Doctor of medicine
D.Eng. ....	Doctor of engineering	M.Ed. ....	Master of education
D.E.S. ....	Doctor of engineering science	M.F.A. ....	Master of fine arts
D.M.A.....	Doctor of musical arts	M.M. ....	Master of music
D.M.D. ....	Doctor of dental medicine	M.P.A. ....	Master of public administration
D.O. ....	Doctor of osteopathic medicine	M.S.W. ....	Master of social work
D.P.M. ....	Doctor of podiatric medicine	NASFAA.....	National Association of Student Financial Aid Administrators
D.V.M. ....	Doctor of veterinary medicine	NCES.....	National Center for Education Statistics
Ed.D. ....	Doctor of education	NCFPE.....	National Commission for Financing Postsecondary Education
Ed.S. ....	Education specialist	NCHEMS.....	National Center for Higher Education Management Systems
EDSTAT.....	Educational Statistics Information Access System	OCR.....	Office for Civil Rights (HEW)
EEOC.....	Equal Employment Opportunity Commission	O.D. ....	Doctor of optometry
FERPA.....	Family Educational Rights and Privacy Act	OMB.....	Office of Management and Budget
FICE.....	Federal Interagency Committee on Education	SOC.....	Standard Occupational Classification System
GAO.....	General Accounting Office	USAFI.....	United States Air Force Institute
GEPA.....	General Education Provisions Act		

NOTE.—Appendixes E and F 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)

Mr. John Burdick  
Dean of Student Activities  
Grossmont College  
El Cajon, Calif.  
(National Vocational Guidance Association)

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  
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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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