



# **Core Service Programming & Testing Guide**

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## **EXHIBITS**

- Exhibit I – Core Service Software Vendors
- Exhibit II – Data Record Layouts & Report Formats
- Exhibit III – Data Element & Status Code Definitions
- Exhibit IV – Secure FTP Instructions
- Exhibit V – Sample Functional Requirements Document

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For assistance, contact [implementation@studentclearinghouse.org](mailto:implementation@studentclearinghouse.org).

## **Introduction**

This guide explains how to develop a data extract program that enables you to report enrollment data to the Clearinghouse.

Please follow these steps in developing and testing your programming:

- If you have a third-party student information system, check the Core Service Software Vendors list in Exhibit I to see if your software provider offers an interface that can automatically extract Clearinghouse data in the correct format for you.
- Read this guide and all exhibits thoroughly.
- Before you begin programming, contact your Clearinghouse New Service coordinator to address any issues or questions.
- Before writing any programming, draft a functional requirements document in plain English of your enrollment system requirements, see the sample in Exhibit V.
- Write the program code based on your functional requirements document.
- Send the Clearinghouse an initial enrollment data file via our secure FTP server (see Exhibit IV for instructions).
- Upon receipt of your file, the Clearinghouse will perform a variety of edit checks and contact you with the results and/or questions. If your code requires modification, you should submit a new data file to the Clearinghouse.
- Once all questions and discrepancies are resolved, your enrollment data will be loaded into our database. We will conduct a brief start-up call to confirm the role the Clearinghouse will play and review how the Clearinghouse Web site can be optimally utilized by you and your staff.

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## **Which Student Populations Should Be Reported?**

All students who are or were enrolled in the current term, including those who are:

- In continuing education
- Taking no classes, but preparing a thesis or dissertation
- Taking course work at another school under a cooperative consortium arrangement
- Studying at another school under a consortium arrangement, but for whom you are the home school. You should include all of the student's credit hours in your status calculation, including courses at the away school
- Studying abroad under a school-sponsored program
- Enrolled, but not pursuing a degree or certificate
- Attending any other special program that qualifies as enrolled for purposes of the Federal Family Education Loan Program (FFEL and Direct)
- Students for whom you do not have a valid Social Security number on record
- Foreign students to whom you have assigned alternate numeric identifiers

Do NOT include:

- Medical students who are in internship or fellowship programs
- Consortium students for whom you are not the home or degree granting institution (these students are frequently noted on the student information system as visiting students)

If your school maintains student records under multiple OPE IDs<sup>1</sup> or branch codes (commonly called school codes), you should run a separate report for each OPE ID or branch code combination. For example, you would run one report for the medical school and one report for all other students.

If your school maintains student records under a single OPE ID but has academic programs with different terms or mandatory attendance periods, consult your New Service coordinator. Medical schools, for instance, often have very different attendance periods than undergraduate schools. We may recommend that a separate data file be generated for each academic program and differentiate them using a Clearinghouse assigned branch code or the official branch code.

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<sup>1</sup> U.S. Department of Education's Office of Postsecondary Education identification numbers

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### **When Should the Status Start Date Be Provided?**

Do not report a status start date for full-time students. Our system automatically sets the start date as the beginning of the first term in which the student was reported as full-time.

If a student is enrolled half-time (H) or less than half-time (L), follow these rules to determine whether a start date should be provided:

- Always report the status start date if the student has a non-enrolled status, such as graduated (G), deceased (D), withdrawn (W), or is on an approved leave of absence (A). Report the date stored on your school system that indicates the date the student's status change was effective.
- If the student was in a higher status and dropped to a lower status during the term, provide the date the student dropped to the lower status as the status start date
- If the student was in a lower status and increased to a higher status during the term, do not provide a start date.

### **How Can I Tell If a Student Changed Status During the Term?**

If your enrollment system has separate fields for status and change of status date, you will need to determine if the change of status date is in the current term. If it is, you should report it in the status start date field using the guidelines provided above in "*When Should the Status Start Date Be Provided?*"

### **What if My Enrollment System Does Not Have Separate Status and Status Change Date Fields?**

If the status of a half-time or less than half-time student is higher during the current term, compare the current status to the one you last reported to the Clearinghouse (**you should save a data file of each report you send us**). If the student's status did not change, leave the status start date field blank (filled with spaces).

If the student's status is lower (e.g., went from full- to half-time or less than half-time or from half- to less than half-time), you need to determine the date the status changed. You can do this by reviewing the list of classes dropped by the student. Your program should add all enrolled course credits and then sequentially subtract the dropped credits until the threshold for the current status is passed. Once you have identified the course that lowered the student's status, you should report its drop date as the status change date.

### **How Do I Provide Anticipated Graduation Dates?**

An Anticipated Graduation Date (AGD) is your best estimate of when a student is expected to complete his or her current program of study. If you maintain AGDs in your student information system, report this date.

If you do not maintain AGDs, you should use a simple algorithm to calculate and report them. For example, if undergraduates typically graduate from your school in five years, the best algorithm for you could be:

- If a first-year student, AGD = end of current academic year + four years,
- If a second-year student, AGD = end of current academic year + three years,
- If a third-year student, AGD = end of current academic year + 2 years,
- If a fourth-year student, AGD = end of current academic year + 1 year,
- Else, AGD = end of current academic year.

AGDs must be provided for students with F, H or A statuses. Do not provide AGDs for students with L, W, G or D statuses.

**Your program should include a routine to identify and correct AGDs that are:**

- Blank and the status is F, H or A
- Before the current term end date
- Invalid (e.g., February 30)

If the problem AGDs are not corrected, processing your enrollment data file will cause errors that must be resolved before the data can be loaded into our system.

### **What Is the Directory Block Indicator and How Is It Used?**

The Directory Block Indicator (DBI) is used to inform the Clearinghouse when a student has exercised his or her right under the Family Educational Rights and Privacy Act (FERPA) to block the release of his or her name and/or attendance dates to third parties. These data elements are usually included in the definition of directory information at post-secondary institutions. Because this definition can vary by institution, your institutional policy should be reviewed.

If a student requests a block, your student information system would record the request in one or more block fields. Your extraction program should be able to include DBI fields each time a Clearinghouse enrollment data file is created. The DBI field should contain a "Y" for each student who requested a block on his or her name and attendance dates and an "N" for each student who did not request the block.

If the DBI is set to "Y" for yes, the Clearinghouse will block all outbound enrollment reporting on the student to all entities other than those in the student loan industry. The Clearinghouse uses the DBI to maintain your FERPA compliance when we report to other schools, on your behalf, about the transfer of their former students to your institution.

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### **How is My Programming Tested?**

Once you complete your data extraction programming, you should send us an enrollment file so we can run edit checks against it. Use the secure FTP account that has been set up for your school (see Exhibit IV for instructions).

### **How do I Report Summer Enrollment?**

If your institution offers summer courses, you should report summer data to the Clearinghouse. This allows us to accurately track the actual summer withdrawal date of students enrolled in the spring and summer terms who did not return for the fall term.

To report summer enrollment:

- Set the Standard Report Flag (position 26) to "N" (no).
- If your school uses different thresholds for enrollment status during the summer term (summer terms are generally considered non-compulsory), your system's Time Status Rule Form/Validation Table should be adjusted to reflect the correct statuses (see Exhibit V for an example of how one school made these adjustments).
- Establish term start and end dates for each summer student. Your academic policy may be to report terms as beginning on the first day of the first session of summer classes and ending on the last day of exams of the last summer session or to report the specific term start and end dates for the session(s) that each student attends.
- Report summer term enrollment data at the beginning of the summer term and again at the end. Report student status (e.g., full-time, half-time, etc.) according to your institution's definitions for summer enrollment.
- Continue to report status start dates for students who experience a decrease in status or withdraw from your institution. If you tell us a student has withdrawn, we will accept the record. However, you should only report official withdrawals and not those of students who withdrew only from summer registration.

### **Questions?**

If you have a question or need assistance, contact your New Service coordinator at [implementation@studentclearinghouse.org](mailto:implementation@studentclearinghouse.org).

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**EXHIBIT I**  
**Core Service Software Vendors**

If your student information system is listed below, you can easily obtain an interface program from your vendor that will allow you to automatically extract enrollment status information from your student information system in the required Clearinghouse format.\* Using your software vendor’s Clearinghouse interface will reduce the time your programming staff need to prepare your system for reporting regularly to the Clearinghouse.

If your software vendor is not on our list and you would like us to discuss Clearinghouse programming with them, contact us at [implementation@studentclearinghouse.org](mailto:implementation@studentclearinghouse.org).

<b>Vendor</b>	<b>Product Name</b>
Campus Management Corporation	CLASS
Champlain Software	AS 400 Version PC Version
Complete Business Solutions, Inc.	APECS
Computing Options Company	REGENT/COLLEGE
ComSpec International	EMPOWER
Datatel	Colleague® 12.8+
EDC, Inc.	Univers™ (1.02+)
Jenzabar	CX, EX, PX, QX, QE, TE
Oracle	PeopleSoft
RJM Enterprises	SONIS
RobinSoft Corporation	GradPro
Scan Business Systems, Inc.	Scanware
SunGard	Banner® Bi-Tech IFAS Matrix Plus PowerCAMPUS®
Three Rivers Systems, Inc.	CAMS®
Tolemac	n.a.

*\*At this time, data elements up to and including the DBI field are available through software vendors’ interfaces.*

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## **EXHIBIT II**

### **Data Record Layouts & Report Formats**

The following are the transmission and data record layout requirements for submitting files to the Clearinghouse for your institution's Core service.

#### **Transmitting Files**

You will use your Clearinghouse secure FTP account to transmit your enrollment reports. Key features of the secure FTP system are:

- Employs an easy-to-use Web browser interface so users can quickly and securely send and receive files.
- Stores files using the U.S. federal encryption standard, FIPS 140-2 validated AES encryption.
- Eliminates the need to encrypt or compress data files or enter complicated FTP line commands prior to file transmission.
- Allows users with automated environments to use no- or low-cost secure FTP clients to exchange files over encrypted FTPS and SSH connections.

#### **General Requirements**

- Your data file should contain:
  1. One header record
  2. Individual student detail records
  3. One trailer record
- File Name = School Code and Branch Code with a three letter file extension (12345600.CLR).
- All dates must be valid and formatted as YYYYMMDD (full year, month, day).
- We prefer but do not require that student records be presented in Social Security number order.
- In the type column of the data record layouts, "N" is used to indicate numeric values and "AN" is used to indicate alphanumeric values.
- Name suffixes (e.g., Jr, Sr, III) have an assigned field. If your system includes them as part of the last name, you should parse the suffix from the last name and move it into the suffix field.
- Fields containing no value (aka, "fillers") should be filled with spaces, as indicated in the comments column of the data record layout table.
- Your file should be formatted according to the data element layout in a flat file using trailing spaces/filler to create fixed length records of 700 bytes each.
- A variable length file can be created using "\$" as the delimiter (i.e., insert a "\$" after each data element and as a placeholder for each blank field). Each field must be separated

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with this delimiter, including fields left blank and filler space. Carriage returns or line feeds act as the record separator.

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**Header Record Layout**

Total header record length is 700 bytes.

Field Name	Length	Start	Stop	Req'd	Type	Comments
Record Type	2	01	02	Yes	AN	Value is "A2"
School Code	6	03	08	Yes	N	Dept. of Education "FICE" code (OPE ID)
Branch Code	2	09	10	Yes	N	School branch code suffix or 00, if none
Academic Term	15	11	25	Yes	AN	Institutionally-defined name of academic term for the reported data (e.g., Fall 2006, 1st Quarter 2006, 1st Semester 2006)
Standard Report Flag	1	26	26	Yes	AN	Y = Standard report, no special handling N = Non-standard report (e.g., summer terms or graduates only)
Certification Date	8	27	34	Yes	N	Date enrollment data was certified by school (YYYYMMDD)
Reporting Level	1	35	35	Yes	AN	Value for full reporting is "F"
Filler	665	36	700	Yes	AN	Space fill

The type codes in this document are "N" numeric and "AN" alpha numeric.

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**Detail Record Layout**

Each detail record must be 700 bytes in length.

Field Name	Length	Start	Stop	Req'd	Type	Comments
Record Type	2	1	2	Yes	AN	Value for each detail record is "D1"
Student SSN	9	3	11	Yes	N	Numbers only, no hyphens. If no SSN is available, fill with "NO SSN" followed by trailing spaces.
First Name	20	12	31	Yes	AN	Student's first name
Middle Initial	1	32	32	No	AN	Student's middle initial
Last Name	20	33	52	Yes	AN	Student's last name
Name Suffix	5	53	57	No	AN	e.g., III, JR, SR, etc. Space fill if not applicable.
Previous SSN	9	58	66	No	AN	If SSN changed, enter student's previous SSN
Previous Last Name	20	67	86	No	AN	Student's previous last name. Space fill if not applicable.
Enrollment Status	1	87	87	Yes	AN	See Exhibit III
Status Start Date	8	88	95	No	N	See Exhibit III
Street Line 1	30	96	125	Yes	AN	Student's permanent street address
Street Line 2	30	126	155	No	AN	Continuation of address (e.g., Apt B)
City	20	156	175	Yes	AN	Permanent city of student's residence
State	2	176	177	Yes	AN	Permanent state (enter "FO" if foreign country)
Zip	9	178	186	No	AN	Permanent zip code (space fill foreign addresses and zip extensions, if not available)
Country	15	187	201	No	AN	Foreign country of residence; space fill if USA
Anticipated Graduation Date	8	202	209	Yes	N	Date student is scheduled to graduate. Required only for students with F, H or A statuses; otherwise, space fill.
Date of Birth	8	210	217	Yes	N	Date student was born entered as YYYYMMDD. If unknown, space fill.
Term Begin Date	8	218	225	Yes	N	Start date of current academic term (1st day of classes) for program in which student is enrolled
Term End Date	8	226	233	Yes	N	End date of current academic term (last day of exams) for program in which student is enrolled
Filler	1	234	234	No	AN	Space fill
Directory Block Indicator	1	235	235	Yes	AN	Y = Student requested a block on the release of his/her name and/or attendance dates. N = Student did not request a block.

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**Detail Record Layout** *(continued)*

Field Name	Length	Start	Stop	Req'd	Type	Comments
NCES CIP Code for Major 1	6	236	241	No	N	Appropriate NCES CIP code for major, if available. Space fill if not applicable. (See also Exhibit III.)
NCES CIP Code for Major 2	6	242	247	No	N	Appropriate NCES CIP code for major, if available. Space fill if not applicable.
Major Course of Study 1	80	248	327	No	AN	e.g., History. Fill with "NOT APPLICABLE," if appropriate. (See also Exhibit III.)
Major Course of Study 2	80	328	407	No	AN	e.g., Political Science. Space fill if not applicable.
Class	1	408	408	No	AN	Class level; otherwise, space fill. (See Exhibit III.)
First Time Full Time	1	409	409	No	AN	First-time, full-time degree/certificate-seeking undergraduate flag. (See Exhibit III.)  Y = First-time undergraduate student enrolled full-time who is seeking a degree/certificate  N = Student attended full-time before, is enrolled only part-time, or is not seeking a degree/certificate.  If no value, space fill.
Degree Seeking	1	410	410	No	AN	Y = Student is seeking a degree N = Student is not seeking a degree  If no value, space fill.
High School Code	6	411	416	No	N	CEEB/ACT Code, 000001 thru 999999; otherwise, space fill. (See Exhibit III.)
Gender	1	417	417	No	AN	M = Male F = Female  If no value, space fill.
Race/Ethnicity	2	418	419	No	AN	See Exhibit III. If no value, space fill.
College Student ID	20	420	439	No	AN	Institutionally-supplied student ID number. If no value, space fill.
State Student ID	30	440	469	No	AN	State-supplied student ID number. If no value, space fill.
Email	128	470	597	No	AN	Student's email address. If no value, space fill.
Good Student	1	598	598	No	AN	Good Student Discount eligibility flag (see Exhibit III). Y = Eligible N = Not eligible  If no value, space fill.
Middle Name	35	599	633	No	AN	Student's middle name or, if full name is not available, middle initial. If no value, space fill.
Filler	67	634	700	No	AN	Space fill

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### Trailer Record Layout

Total Trailer Record Length is 700 Bytes.

Field Name	Length	Start	Stop	Req'd	Type	Comments
Record Type	2	01	02	Yes	AN	Value is "T1"
Number of "F"	6	03	08	Yes	N	Number of records where enrollment status = "F"
Number of "H"	6	09	14	Yes	N	Number of records where enrollment status = "H"
Number of "L"	6	15	20	Yes	N	Number of records where enrollment status = "L"
Number of "W"	6	21	26	Yes	N	Number of records where enrollment status = "W"
Number of "G"	6	27	32	Yes	N	Number of records where enrollment status = "G"
Number of "A"	6	33	38	Yes	N	Number of records where enrollment status = "A"
Number of "X"	6	39	44	Yes	N	Fill with zeros. (This status is not currently used, but may be in the future.)
Number of "D"	6	45	50	Yes	N	Number of records where enrollment status = "D"
Total Record Count	8	51	58	Yes	N	Total count equals the number of student detail records plus two (the header and trailer records are included in the total)
Filler	642	59	700	Yes	AN	Space fill

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## **EXHIBIT III**

### **Data Element & Status Code Definitions**

#### **"F" Full-Time**

A student's enrollment in a post-secondary institution (other than a correspondence program) is considered full-time if his/her academic workload constitutes full-time status as determined by the institution using standards applicable to all students enrolled in the same program. The workload can consist of any combination of courses, work experience, research or special studies, whether or not for credit, that the institution considers sufficient to constitute full-time status. A student who is enrolled in a vocational school (other than a correspondence program) and carrying a workload of not less than 24 hours per week, 12 semester or quarter hours of instruction, or the equivalent is considered full-time.

#### **"H" Half-Time or More (But Less Than Full-Time)**

A student's enrollment in a post-secondary institution is considered half-time when his/her academic workload is at least one-half the workload of a full-time student, as determined by the institution, and the student is not a full-time student. A student enrolled solely in an eligible correspondence program is also considered to be a half-time student.

#### **"L" Less Than Half-Time (But Still Enrolled)**

A student's enrollment in a post-secondary institution is considered less than half-time when his/her workload amounts to less than the academic workload of a half-time student, as determined by the institution.

#### **"W" Withdrawn**

A student enrolled in a post-secondary institution who has withdrawn, dropped out, failed to re-enroll or been terminated, expelled or dismissed by the institution is considered withdrawn.

#### **"G" Graduated**

A student who was enrolled in an eligible post-secondary institution and completed the requirements for graduation or the program of study in which he/she was enrolled is considered graduated.

#### **"A" Approved Leave of Absence**

A student who is enrolled in an eligible post-secondary institution and has met the requirements for an approved student loan leave of absence and, therefore, is not required to attend classes for a specified period of time. For purposes of Title IV, HEA program loan borrower, an institution does not have to treat a leave of absence as a withdrawal if it is an approved leave of absence. An approved student loan leave of absence must not exceed 180 days in any 12-month-period. The number of days in a leave of absence is counted beginning with the first day of the student's initial leave of absence in a 12-month-period. If a student does not resume attendance at the institution at or before the end of a leave of absence, the institution must treat the student as a withdrawal in accordance with [CFR 668.22\(d\)](#).

#### **"D" Deceased**

A student enrolled in a post-secondary institution that has died.

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## Definitions For Current Status Start Date

### "F" Full-Time Status

Do not report a start date for full-time status. The Clearinghouse assumes that a full-time student's status start date is the first day of the term.

### "H" Half-Time or "L" Less Than Half-Time

If the student was enrolled in either of these two statuses *throughout* the term or was in a lower status during the term, do not report a start date. The Clearinghouse will calculate the start date. If the student dropped to either of these two statuses during the term, report the start date as the date the student's status changed.

### "W" Withdrawn

When the "W" code is used, the start date is the earliest of these dates:

- Date the student officially notified the school of his/her withdrawal or the withdrawal date specified in the student's written notification, whichever is later.
- Date determined by the school, if no notice is given by the student.
- Date of the last lesson submitted if the student is enrolled in a correspondence program and fails to submit an assignment (using the schedule of lessons established by the school).
- First day of the leave of absence, if a student does not return to school after an approved leave of absence.
- Date of termination, expulsion or dismissal, if a student is terminated, expelled or dismissed by the school.

### "G" Graduated

Report the date that the student completed the institution's requirements for graduation, not the date of the graduation ceremony. Usually, this is the term-end date.

### "A" Approved Leave of Absence

Report the date that the student began the approved leave of absence.

### "D" Deceased

Report the student's date of death (or the date of the notification of the student's death if the actual date of death is not known and cannot be obtained on a timely basis).

## Definitions for Class Level

Report each student's class level (as defined by your institution) using the values below. For students pursuing degrees from a combination of programs that cross class-level categories, report the class level of the primary program.

- **"F" Freshman** (Undergraduate)
- **"S" Sophomore** (Undergraduate)
- **"J" Junior** (Undergraduate)
- **"R" Senior** (Undergraduate)
- **"C" Certificate** (Undergraduate). Includes students enrolled in certificate granting programs.
- **"N" Unspecified** (Undergraduate). Includes students who do not fit in traditional class designations for undergraduate programs (e.g., students pursuing second bachelor's degrees or students taking undergraduate courses but not pursuing degrees).
- **"M" Master's** (Graduate)
- **"D" Doctoral** (Graduate)
- **"P" Postdoctorate** (Graduate)
- **"L" First Professional** (Graduate). IPEDS definition stipulates the following majors and CIP codes:

- |   |   |
|---|---|
| – Chiropractic (D.C., D.C.M.) (51.0101) | – Podiatry (D.P.M., D.P., Pod.D.) (51.2101) |
| – Dentistry (D.D.S., D.M.D.) (51.0401)  | – Veterinary Medicine (D.V.M.) (51.2401)    |
| – Medicine (M.D.) (51.1201)             | – Law (L.L.B., J.D.) (22.0101)              |
| – Optometry (O.D.) (51.1701)            | – Theology (M.Div., M.H.L./Rav, B.D., or    |
| – Osteopathic Medicine (D.O.) (51.1901) | Ordination) (39.0602 or 39.0605)            |
| – Pharmacy (Pharm.D.) (51.2001)*        |   |

*\* Report the Bachelor of Pharmacy degree as CIP 51.2001, Award Level 5. All other CIP codes listed above should only be used to report first-professional degrees.*

- **"G" Unspecified** (Graduate/Professional). Includes students taking graduate-level coursework who do not fit into the other graduate and professional categories (e.g., students taking graduate-level courses who are not seeking degrees or students seeking graduate-level certificates).

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### **Definition for First-Time, Full-Time Flag**

The “First-Time, Full-Time” flag should be set to yes (“Y”) or no (“N”). Annually, your institution is required to report a “First-Time, Full-Time” cohort to the Department of Education via IPEDS. The methodology used to create the cohort you reported to IPEDS should be used to determine the “First-Time, Full-Time” status for this flag.

### **Definitions for High School Code**

Report the code for the most recent high school attended by the student using the College Entrance Exam Board/ACT (CEEB/ACT) code structure. Enter 960000 for GED recipients and 969999 for home-schooled students.

### **Definitions for Majors**

- **NCES CIP Codes for Majors:** The National Center for Education Statistics Classification of Instructional Programs (NCES CIP) codes associated with any major course of study, if available. If the codes are not available, space fill the fields.
- **Major Course of Study 1 and 2 (Required Data Element):** The official name of any and all major courses of study associated with the student's degree. At least one major course of study is required. If your institution does not have majors, enter “NOT APPLICABLE” in “Major Course of Study 1” (to indicate to employers that the absence of a value is not an error) and space fill “Major Course of Study 2.”

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## Definitions for Race/Ethnicity

Report the race/ethnicity provided by the student.

**“A” Nonresident Alien:** A person who is not a U.S. citizen or national, is in this country on a visa or temporary basis, and does not have the right to remain indefinitely.

**“B” Black, Non-Hispanic:** A person having origins in any of the black racial groups of Africa (except those of Hispanic origin).

**“IA” American Indian/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.

**“NP” Native Asian/Pacific Islander:** A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or Pacific Islands. This includes people from China, Japan, Korea, the Philippine Islands, American Samoa, India, and Vietnam.

**“H” Hispanic:** A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

**“W” White, Non-Hispanic:** A person having origins in any of the original peoples of Europe, North Africa or the Middle East (except those of Hispanic origin).

**“U” Race/Ethnicity Unknown**

## Definition for Good Student Discount Flag

Eligibility for good student discounts is generally based on academic performance. You may report as a “Y” a student who meets any of the following criteria:

- Grade point average of “B” or higher for the most recent term, or
- Cumulative grade point average of “B” or higher, or
- On the Dean’s List, or
- In the top 20% of class.

If the student does not meet any of these criteria, you should enter an “N” or space fill the field.

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For assistance, contact [implementation@studentclearinghouse.org](mailto:implementation@studentclearinghouse.org).

## **EXHIBIT IV**

### **Secure FTP Instructions**

#### **Establishing a secure FTP Account**

The National Student Clearinghouse supports secure FTP to safely and securely collect, store, manage, and distribute sensitive information between your organization and the Clearinghouse. More information is available on our Web site at [www.studentclearinghouse.org/ftps](http://www.studentclearinghouse.org/ftps).

You must establish a Clearinghouse secure FTP account at least two business days before you expect to send your first file. To open an account, please submit the online secure FTP Access Form located on our Web site at [www.studentclearinghouse.org/ftps/secure\\_ftp.htm](http://www.studentclearinghouse.org/ftps/secure_ftp.htm). Make sure you click the “Colleges & Universities Secure FTP Access Form” link. Within two business days, we will contact your designated secure FTP contact with your password and answer any technical questions.

#### **Compressing Your File**

You may want to compress your file to minimize secure FTP transmission time. The Clearinghouse will uncompress your file using PKZIP version 2.02T. If you plan to use a different compression utility, contact [secureftp@studentclearinghouse.org](mailto:secureftp@studentclearinghouse.org) to determine its compatibility.

#### **Transmitting Your Files via secure FTP**

Secure FTP supports the following methods of securely exchanging files with the Clearinghouse:

- Web browser interface
- FTP over SSH (SFTP)
- FTP over SSL (FTPS)

The Web browser interface is a quick, easy method of manually transmitting files. For the Web browser interface, follow the instructions below or refer to our online secure FTP User Guide at [www.studentclearinghouse.org/ftps/pdfs/SecureFTP\\_UserGuide.pdf](http://www.studentclearinghouse.org/ftps/pdfs/SecureFTP_UserGuide.pdf).

1. From a web browser, go to <https://ftps.nslc.org> (you may want to bookmark this site)
2. Enter your Clearinghouse username and password.
  - Username is NOT case sensitive; password IS case sensitive.
  - Your account will be suspended if you attempt to log in too many times with an incorrect password.
  - If you are logging in for the first time, you may be prompted to change your password. The password rules are:
    - i. Minimum length is six characters
    - ii. Must contain at least one alphabetical and one numerical character
    - iii. Must not resemble your user name
3. Once you are logged in, select “Upload a File Now” and follow the prompts.

For automated environments, please refer to the secure FTP Automation Guide at [www.studentclearinghouse.org/ftps/pdfs/SecureFTP\\_Automation.pdf](http://www.studentclearinghouse.org/ftps/pdfs/SecureFTP_Automation.pdf).

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### **Secure FTP File Receipt Confirmation**

The Clearinghouse will send a file receipt confirmation to the email address you entered on the online secure FTP Access Form. If you do not receive a confirmation email within 24 hours of transmission, contact us.

### **Questions?**

If you have any questions, or need assistance with secure FTP, contact Clearinghouse technical support at [secureftp@studentclearinghouse.org](mailto:secureftp@studentclearinghouse.org).

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**EXHIBIT V**  
**Sample Functional Requirements Document**

**ABC University**

Prior to programming, we recommend that you write a functional requirements document encompassing your institution's unique enrollment system requirements. The sample below will assist you in writing your own document.

**Population Selection Criteria**

- All students for the current term being processed who are enrolled or withdrawn, (i.e., enrollment status = 3 for enrolled students or 5 for withdrawn students)
- Delete school-generated IDs and SSNs in 777, 888, 999, or 000 series

**Field-Specific Processing Criteria**

Only needed for fields requiring explanation.

**Header Record**

- ABC University's OPE ID is "002300"
- ABC University will use branch code = 00, since we have no other branches
- Academic terms are "Fall Semester," "Spring Semester," and "Summer Semester"
- Standard report flag is "Y" for fall and spring; "N" for summer
- Certification date is the date that ABC University certified the enrollment data (may correlate to the file creation date)
- Reporting level is "F" for full (all students)

**Detail Record**

- Name fields require a parsing routine to split out last, first and middle names
- Enrollment status types are:
  - **F:** Undergraduate students enrolled in 12 or more hours or graduate students enrolled in 10 or more hours for the fall and spring semesters. Graduate or undergraduate students enrolled in six or more hours for the summer semester. All students in program codes THESIS, STDYABRD, STDNTEACHR, and GRADASSIST.
  - **H:** Undergraduate students enrolled in six to 11 hours or graduate students enrolled in six to nine hours for the fall and spring semesters. Graduate or undergraduate students enrolled in three to five hours for the summer semester.
  - **L:** Graduate or undergraduate students enrolled in less than six hours for the fall and spring semesters. Graduate or undergraduate students enrolled in less than three hours for the summer semester.
  - **W:** Students with an enrollment status of 5 (withdrawn).

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- **G:** Students who have a conferred degree but show no re-enrollment action (e.g., an application to graduate school).

If a graduate school academic plan exists for an undergraduate on whom a degree was just conferred, he/she will not be reported as graduated. We will assume the student is continuing his/her education in graduate school. If a master's degree has been conferred on a graduate student, but his/her plan states that he/she is seeking a PH.D., the student will not be reported as graduated.

- **A:** ABC University has no approved leave of absence and will not use this status.
- **D:** Students with the deceased indicator set on the associated file.

- **Start Date of Current Status**

- **F:** Do not report start date for this status.
- **H:** Start date will only be reported when the status is "H" and the hours at first term report are 12 or greater; otherwise, it will be blank. The date of the earliest "drop" transaction after the 10th day (academic selection) will be used.
- **L:** Start date will only be reported when the status is "L" and the hours at the first term report are six or greater; otherwise, it will be blank. The date of the earliest "drop" transaction after the 10th day (academic selection) will be used.
- **W:** The withdrawal date from the enrollment file will be used.
- **G:** The date the degree was officially conferred (transcript date on degree conferment file).
- **A:** Not used at ABC University.
- **D:** ABC University has no record of when the student died or was reported as deceased. If exact date of death is unknown, provide the date of notification.

### Anticipated Graduation Date Calculations

- Freshman = end of current academic year + 4 years
- Sophomore = end of current academic year + 3 years
- Junior = end of current academic year + 2 years
- Senior < 120 hrs. = end of current academic year + 1 year
- Senior > 120 hrs. = end of current academic year
- Graduate masters program = program start date + 2 years
- Graduate doctoral program = program start date + 5 years
- Graduate non-degree = program start date + 1 year
- Undergraduate non-degree = program start date + 2 years

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### **Term Begin and End Dates**

- Term Begin Date: Registration date entered in the Academic Center Term file for the term being processed. This date is the first day of classes.
- Term End Date: Term end date entered in the Academic Center Term file for the term being processed. This date is the last day of exams.

### **General Information**

- Directory Block Indicator will be a "Y" if the student has an information block associated with his/her name or attendance dates. Otherwise, it will be an "N."
- Trailer Record (self-explanatory; see the Clearinghouse specifications).
- All fields without values will be space filled (not zero filled), except for branch code and trailer fields.
- All date values will be YYYYMMDD.
- Files should be fixed width format.
- ABC University will report to the Clearinghouse at 10th census and monthly thereafter. The final file for the term will be created and sent two weeks after the last day of finals in order to obtain and report the most accurate graduation data.

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