



Avoiding Common Enrollment Audit Findings

Compliance Webinar Series

This Webinar's Purpose

A walk through on common audit enrollment reporting compliance pain points including example scenarios of issues identified during financial aid audits and program reviews

- Depth of Content: **High Level**
- **Objective:** Review common enrollment reporting audit findings and best practices to avoid data discrepancies and untimely reporting
- Other Available Webinar Sessions:
[Webinar Calendar | Clearinghouse Academy \(studentclearinghouse.org\)](#)
 - Enrollment Reporting Series
 - Error Resolution on the Web
- For additional school specific support, please contact us directly
auditresource@studentclearinghouse.org



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Agenda

- ✓ Common Federal Financial Aid Audit Findings **overall**
- ✓ Common **Enrollment Reporting** Audit Findings
- ✓ Mitigating Enrollment Reporting Compliance Risk
- ✓ Resources



Common Federal Financial Aid Audit Findings

Most common findings schools
experience overall during an Audit or
Program Review



Common Federal Financial Aid Audit Findings **Overall**

- R2T4
- Student Credit Balance Deficiencies
- Verification Violations
- Entrance/Exit Counseling Deficiencies
- Enrollment Reporting

Common **Enrollment Reporting** Federal Financial Aid Audit Findings

- ✓ Graduated (G) Enrollment Status
- ✓ Withdrawn (W) Enrollment Status (Unofficial/Retroactive)
- ✓ School Policy and Procedure Gaps
- ✓ Incorrect Data

Graduated (G) Enrollment Status Reporting



What is the Federal Guidance requirement for Graduated Enrollment Status Reporting?

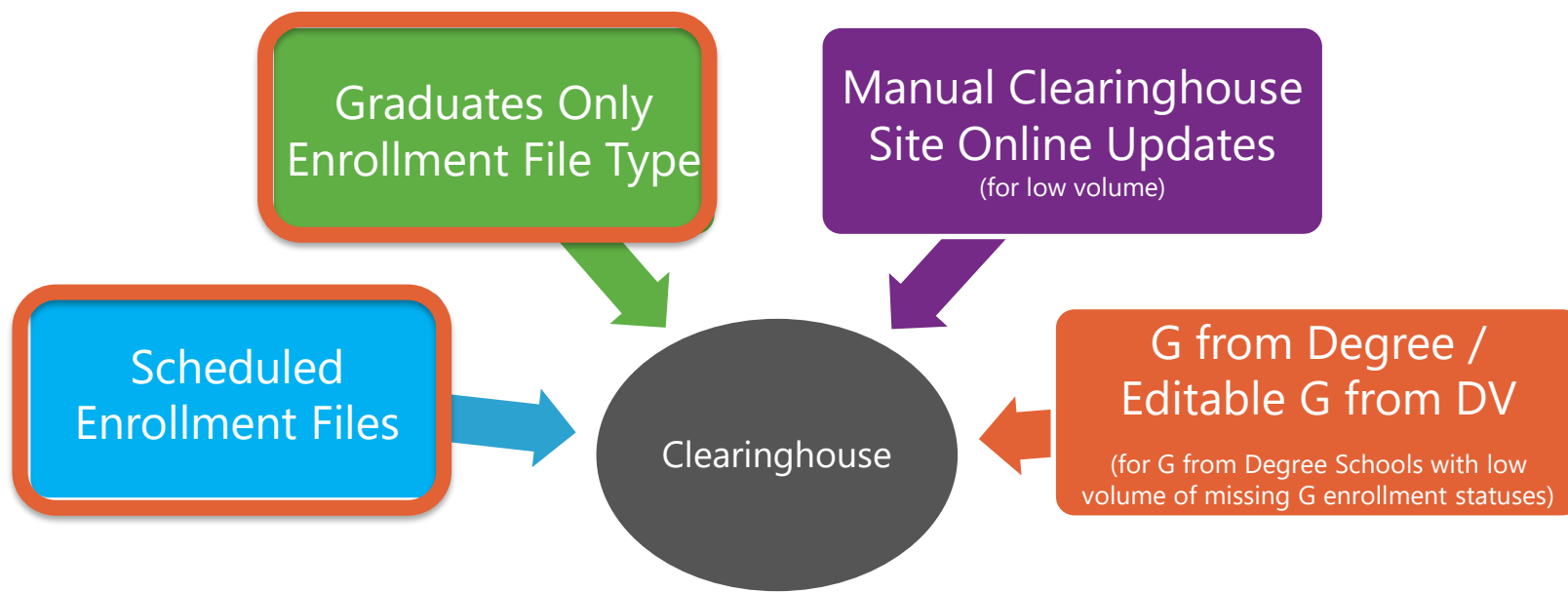
Certify Graduated (G) enrollment statuses for **completed programs** at the Program Level in Enrollment Reporting to Clearinghouse:

- ✓ *Regardless* of whether student is currently in-school when the degree is assessed
- ✓ Even if student completes a program later than their last term of enrollment
- ✓ Campus Level Graduated (G) enrollment status is required for students who are separated from the school entirely and completed all current programs in their most recent term of enrollment

How to Avoid Graduated (G) Enrollment Status Audit Findings:

Graduated (G) Enrollment Status Reporting

Leverage Clearinghouse Enrollment Reporting to certify Graduated (G) enrollment statuses in the event the student completed a program at your school



Withdrawn (W) Enrollment Status

Unofficial/Retroactive Withdrawals



Considerations for Unofficial/Retroactive Withdrawals (W) enrollment statuses

- Unofficial Withdrawal (W) reporting is typically reserved for schools not required to take attendance
- Retroactive Withdrawal (W) reporting can depend on school policy and school approval for a retroactive Withdrawal
- Nature of a status change to Withdrawn (W) can vary, introducing challenges certifying status change to Withdrawn (W) in Enrollment Reporting
- Certain Withdrawn (W) statuses assessed by the school can occur after the student re-enrolled and was reported in an active enrollment status in a later term

Unofficial/Retroactive Withdrawn 'W' Status Reporting

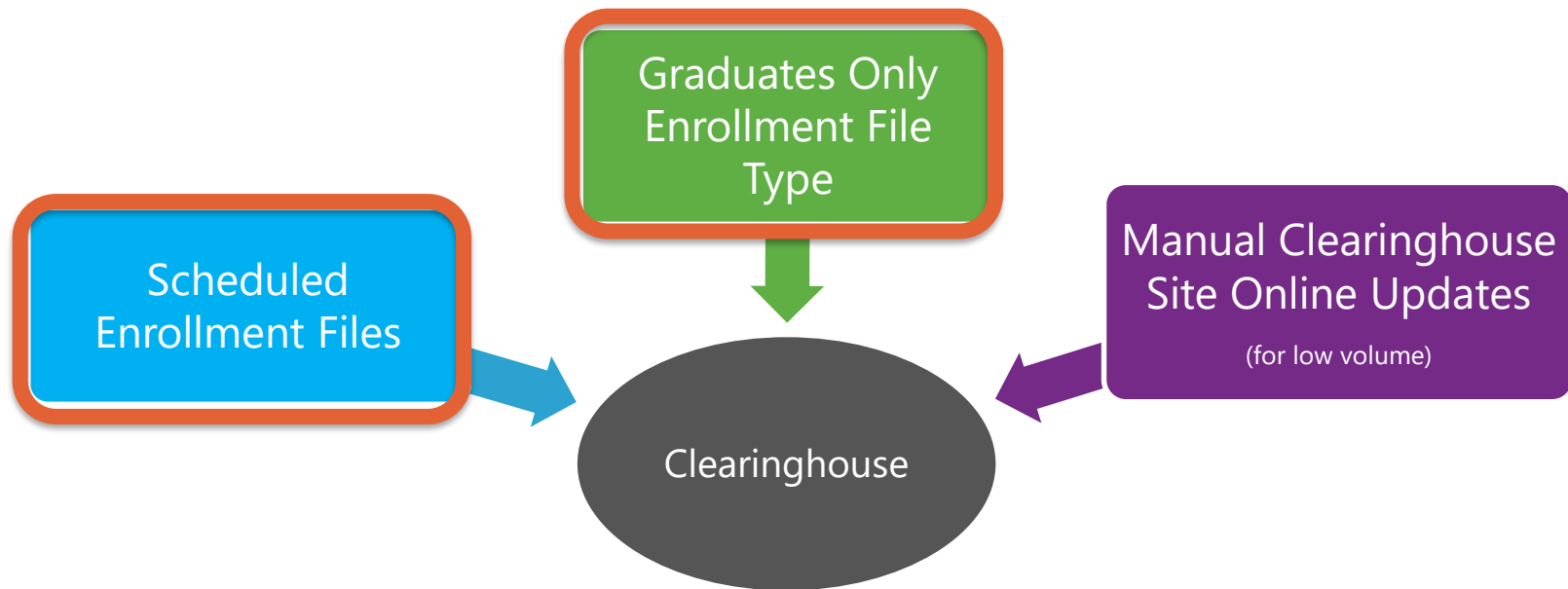
How to Avoid Withdrawn 'W' Status Audit Findings:

- Consult School Policy and review/create Best Practices
 - Is there agreement within the school for when a student is considered Withdrawn 'W' versus continuously enrolled?
 - If a Retroactive Withdrawal 'W' is granted, how does Financial Aid address that for Title IV students?
 - [2022-2023 FSA Handbook Volume 5 \(ed.gov\)](#) includes the latest information, effective July 1st, 2021 RE: Withdrawal Exemptions
- If your school commonly assesses Withdrawn students from last term *after* the next term has been reported, please contact Clearinghouse if there are questions. We can review the scenario to support your compliance needs, auditresource@studentclearinghouse.org

Unofficial/Retroactive Withdrawn (W) Status Reporting

How to Avoid Withdrawn (W) Status Audit Findings:

Leverage Enrollment Reporting to certify Withdrawn (W) enrollment statuses in the event the student is Withdrawn from the school



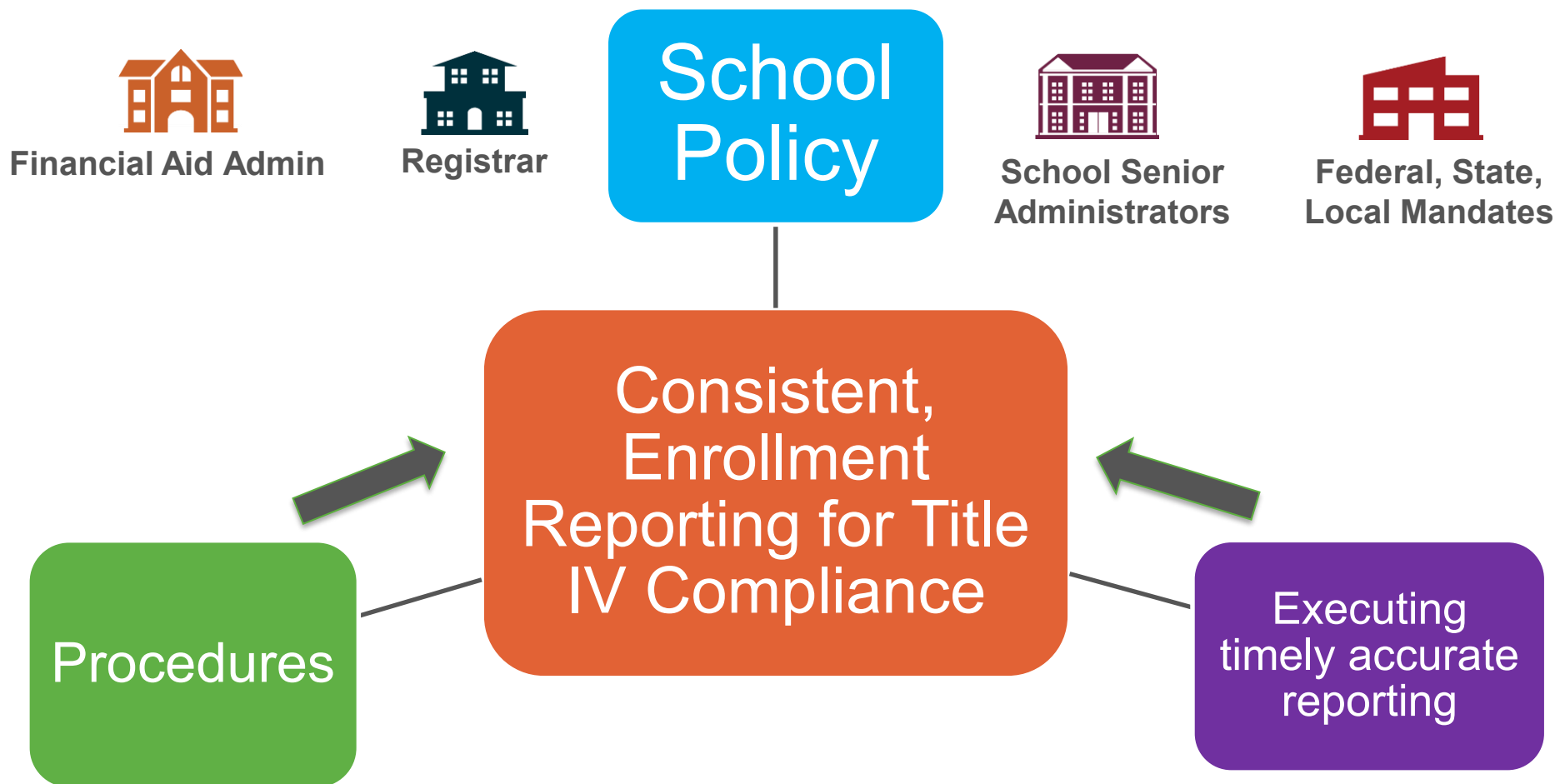
Mitigating Enrollment Reporting Compliance Risk



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Critical Role of School Policy and Procedures



Federal Enrollment Reporting Requirements

NSLDS Rosters must be completed at least every 2 months

NSLDS Rosters returned to NSLDS within 15 days of receipt

Clearinghouse manages
NSLDS Roster schedule
and responding timely to
Rosters

Correct NSLDS Errors within 10 days of receipt

Clearinghouse emails alert
to school users and posts
errors on secure site

Report enrollment status changes swiftly to Clearinghouse to meet
NSLDS' 60-day timeliness

School users manage
Clearinghouse Enrollment
Reporting Schedule via the
secure site

Schools' NSLDS Enrollment Reporting Statistics Score must be \geq
90% (Program certifications & Programs reflecting CIP Year 2020)

Clearinghouse Enrollment
Reporting model and
error/warning logic
supports consistent,
complete data reporting
for NSLDS compliance

Correct Clearinghouse Enrollment File Reject Detail After Enrollment File is Processed

- ✓ Clearinghouse places enrollment records requiring attention on our secure site for school action

Access the report by navigating to studentclearinghouse.org user login link > *Student Reporting* tab > *Data Reporting Dashboard* > *Enrollment Reporting (Reject Detail)* tile

The screenshot shows the National Student Clearinghouse Compliance interface. The header includes the logo and 'National Student Clearinghouse' text, and a 'Compliance' title. A sidebar on the left contains navigation icons. The main content area is titled 'Data Reporting Dashboard' and includes a 'Home' link. A banner for '007500-00 HOMETOWN UNIVERSITY' is visible. An 'Important Information' section states: 'Average enrollment file process turnaround time is currently 0.69 calendar days from receipt. Resolution reports for files submitted in the appropriate format with minimal errors and warnings are typically being sent. For process questions, please email SchoolOps@studentclearinghouse.org'. Below this, a 'Needs Immediate Attention' section features three tiles: 'Enrollment Reporting (Error Resolution Report)' with '(76 days outstanding)', 'Enrollment Reporting (Reject Detail)' (highlighted with a blue box) with '(112 days outstanding)', and 'NSLDS Reporting (Correct SSER Errors)' with 'Outstanding'. A 'VIEW ALL' link is at the bottom of this section. The 'Reporting' section below contains two more tiles: 'Enrollment Reporting (Submission Schedule)' and 'DegreeVerify (Submission Schedule)', both with links to 'View/edit future transmission schedule and transmission history'.

Correct Current NSLDS SSCR Errors by NSC Due Date

- ✓ Clearinghouse presents NSLDS errors on the secure site

Access the report by navigating to studentclearinghouse.org user login link > *Student Reporting* tab > *Data Reporting Dashboard* link > *NSLDS Reporting (Correct SSCR Errors)* tile

The screenshot shows the 'Data Reporting Dashboard' for '007500-00 HOMETOWN UNIVERSITY'. The dashboard is part of the 'National Student Clearinghouse' 'Compliance' section. It features a sidebar with navigation icons and a main content area. The main content area includes a 'Home' link, a 'Data Reporting Dashboard' title, and an 'Important Information' banner about enrollment file process turnaround time. Below the banner, there is a 'Needs Immediate Attention' section with three tiles: 'Enrollment Reporting (Error Resolution Report)' (76 days outstanding), 'Enrollment Reporting (Reject Detail)' (112 days outstanding), and 'NSLDS Reporting (Correct SSCR Errors)' (Outstanding). The 'NSLDS Reporting' tile is highlighted with a blue border. To the right of the 'Needs Immediate Attention' section is a 'Get Instant Compliance' section with a 'Sign Up Now!' button. Below the 'Needs Immediate Attention' section is a 'Reporting' section with two tiles: 'Enrollment Reporting (Submission Schedule)' and 'DegreeVerify (Submission Schedule)'. The 'NSLDS Reporting' tile is highlighted with a blue border.

National Student Clearinghouse

Compliance

Home Data Reporting Dashboard

Data Reporting Dashboard -

007500-00 HOMETOWN UNIVERSITY

Important Information: Average enrollment file process turnaround time is currently 0.69 calendar days from receipt. Resolution reports for files submitted in the appropriate format with minimal errors and warnings are typically being sent. If you have any process questions, please email SchoolOps@studentclearinghouse.org

Needs Immediate Attention

- Enrollment Reporting (Error Resolution Report)**
Pending school submissions in need of attention
76 days outstanding
- Enrollment Reporting (Reject Detail)**
Records rejected from current processed enrollment submission
112 days outstanding
- NSLDS Reporting (Correct SSCR Errors)**
Current error report NSC due date: 2021-04-25
Outstanding

[VIEW ALL](#)

Reporting

- Enrollment Reporting (Submission Schedule)**
View/edit future transmission schedule and transmission history
- DegreeVerify (Submission Schedule)**
View/edit future transmission schedule and transmission history

Get Instant Compliance
Sign up to Compliance
[Sign Up Now!](#)

Incorrect Data



Incorrect Data

The Clearinghouse Enrollment Reporting Process has built in, **compliance-driven logic** to avoid reporting discrepancies wherever possible.

Beyond Enrollment Reporting logic, data errors can still occur

- **Data inconsistencies**

Example: Mismatch between Campus Level Status Start Date (SSD) and Program Level Program Status Effective Date (PSED)

Clearinghouse Enrollment Reporting Error Resolution Report **Warning Code 1800 series**

- **SIS Programming Issues** (can be large scale)

Example: Students with Full-Time course load inadvertently reported as Three-Quarter Time

- **Clerical Data Entry Issues** (typically small scale)

Example: School user submits Online Update for a student with status start date typo reporting Withdrawn effective 05/15 when school determined effective date is 05/05

How to Avoid Audit Findings: Incorrect Data

Clearinghouse Recommendation

Conduct a regular review of your federal aid Title IV students' enrollment reporting

Audit these areas for your student sample:

- ✓ Published Course Catalog
- ✓ COD (Common Origination and Disbursement)
- ✓ SIS (Student Information System)
- ✓ Financial Aid paperwork (RT24)
- ✓ Clearinghouse secure site Student Look-Up tab
 - ✓ Review **Enrollment History** and **NSLDS Reporting History** tabs
- ✓ NSLDS
 - ✓ Review "all active and inactive" Advanced Display Option for **Enrollment Detail** and **Program Enrollment Detail** pages

Regular Internal Enrollment Reporting Audit Between Annual Audits

Reviewing Title IV students in a known, variety of enrollment scenarios to mitigate Federal Aid Audit and Title IV compliance risk

**First Time Freshman,
First Time Borrower**

**Unofficial/Retroactive
Withdrawal**

**Graduated Spring
Graduated Fall
Graduated Summer**

**Approved Leave of
Absence 'A'**

**Federal Aid disbursed
at prior institution but
not your institution
(for students with
outstanding federal aid)**

**Pell Grant Only
Recipient**

Support Resource: Clearinghouse's Audit Resource Center (ARC)

Let us help by providing a compliance assessment and any support with next steps

- NSLDS compliance concerns?
- Federal financial aid auditor or program reviewer citing your school for enrollment reporting?

We are here for you to support your institution and the auditor through the enrollment reporting testing process

Please contact our dedicated Audit and Compliance resource:

Contact Clearinghouse's Audit Resource Center
auditresource@studentclearinghouse.org

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- Recorded Tutorials
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Please visit us!
clearinghouseacademy.org/



Support Resources

Data Integrity Operations

Enrollment & Degree File Processing

schoolops@studentclearinghouse.org

Audit Resource Center

Federal Aid Audits & Program Reviews

auditresource@studentclearinghouse.org

NSLDS SSCR Error Questions

sscrerrors@studentclearinghouse.org

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<https://studentclearinghouse.org/compliancecentral/>

