



## 2001-02 Survey Guide

### Introduction

This *Survey Guide* contains all the instructions, definitions, and guidelines for the SREB-State Data Exchange Survey 2001-02. All data are to be entered into the spreadsheet template contained on the disk provided. The file format is Microsoft Excel 97 for Windows (XLS). When completed, a copy of this file is all that needs to be returned to SREB. You may return the file in either Lotus 1-2-3 (WK4) format or Microsoft Excel (XLS) format; by disk or by e-mail.

**General Tips and Instructions:** To move between parts of the survey, click on the section tabs at the bottom of the screen. Yellow areas are text entry areas. Shaded areas are calculated fields, no data entry is required there. If more than one person will be working on the survey, complete Part 1 (Degrees) first, then, pass it on to the next user. Part 1 of the survey must be completed first to determine the proper category for each of the colleges, universities or technical institutes in your report. All and only, those institutions meeting a criterion for a different category for the **third consecutive times** should be changed to a new category.

Each state's survey has been "customized" with institutional lists and the previous year's data. Institution names listed in Part 1 should not be edited. Instead, please note name changes, mergers, etc., at the bottom of the list or by attaching a comment to the cell containing the current name of the institution. When Part 1 is completed, use the new institution list and type codes to revise the lists and type codes in the remaining parts of the survey, as necessary.

If changes are made to the data for the previous year, **please color code the changes**

For assistance completing the SREB-State Data Exchange survey, call Joe Marks or Marie Loverde at (404) 875-9211.

**Please return Part 1 as soon as possible.  
Sections 3 through 9 are due Mar. 1, 2002.  
Section 2 is due Apr. 30, 2002.**

## Overview of the Survey

- Part 1: Degrees and Other Awards Conferred and Classification Verification Worksheet**
- Part 2: Student Progression Rates**
- Part 3: Estimated Full Year Credit/Contact Hours and Full-Time-Equivalent Enrollment**
- Part 4: Public Funds for Operating Expenses of Colleges, Universities and Technical Institutes and for Other Higher Education-Related Operations**
- Part 5: Annualized Tuition and Mandatory Fees Charged Full-time In-state and Out-of-state Students**
- Part 6: Tuition-Related Policies**
- Part 7: Average Salaries of Full-time Instructional Faculty**
- Part 8: Fringe Benefit Amounts of Full-time Instructional Faculty**
- Part 9: Benefits Descriptions**

## Definitions of Institutional Categories

For its 32-year history, the SREB-State Data Exchange has recognized the importance of reporting statistical comparisons by institutional category — unlike most other statistical reports, even today. The mix of types of institutions in the states differs greatly and statewide aggregate comparisons should always be interpreted with caution.

The SREB system for categorizing postsecondary education institutions is designed for use in making statistical comparisons among states and is based on a number of factors relevant to determining resource requirements. Differences in institutional size (numbers of degrees), role (types of degrees), breadth of program offerings (number of program areas in which degrees are granted), and comprehensiveness (distribution of degrees across program areas) are the factors upon which institutions are classified. Other factors relevant to determining resource requirements such as cost differences among programs or externally funded research are not taken into account in the SREB-State Data Exchange categories.

The SREB-State Data Exchange also recognizes that different categorization schemes may be suited to different purposes. Many states use narrower peer group comparisons, sometimes containing institutions outside the SREB region, for purposes other than inter-state statistical comparisons. For example, peer group comparisons are found in many funding formulas for postsecondary institutions. The SREB-State Data Exchange assists researchers and planners who may have the need to form comparison groups of their own choosing by sharing the by-college data from the survey on the Internet since 1995-96. The SREB-State Data Exchange report publishes results using the categories listed below.

Institutions are assigned to categories for a report year using the previous academic year's data on program completions. To keep the statistical comparison groups relatively stable over time and to assure that institutions change categories only when their measures on a criterion are relatively stable, institutions change categories when they meet the criterion for another category for the third consecutive time.

### **Four-Year Universities and Colleges**

<u>Category</u>	<u>definitions</u>
Four-Year 1	Institutions awarding at least 100 doctoral degrees that are distributed among at least 10 CIP categories (2-digit classification) with no more than 50 percent in any one category.
Four-Year 2	Institutions awarding at least 30 doctoral degrees that are distributed among at least 5 CIP categories (2-digit classification).
Four-Year 3	Institutions awarding at least 100 master's, education specialist, post-master's, or doctoral degrees with master's, education specialist, and post-master's degrees distributed among at least 10 CIP categories (2-digit classification).
Four-Year 4	Institutions awarding at least 30 master's, education specialist, post-master's, or doctoral degrees with master's, education specialist, and post-master's degrees distributed among at least 5 CIP categories (2-digit classification).
Four-Year 5	Institutions awarding at least 30 master's, education specialist, post-master's or doctoral degrees.
Four-Year 6	Institutions awarding less than 30 master's, education specialist, post-master's or doctoral degrees.

### **Two-Year & Technical Colleges**

Two-Year 1	Institutions awarding associate degrees and offering college transfer courses; some certificates and diplomas may also be awarded.
Technical 1	Institutions awarding vocational-technical certificates and diplomas; some vocational-technical associate degrees may also be awarded.

### **Specialized**

Specialized	Special purpose institutions that offer specialized degree programs. These may include medical or health science centers and, in some instances, stand-alone law schools, fine arts schools, or engineering schools.
-------------	--

Part 1  
Degrees and Other Awards Conferred and  
Classification Verification

**This part of the survey MUST be completed first** to determine the proper category for each of the colleges, universities or technical institutes in your report. **All and only, those institutions meeting a criterion for a different category for *the third consecutive time* should be changed to a new category.** Institutions that might be eligible for reclassification are flagged in the data template.

This part of the survey combines the request for the classification verification information and the request for degrees and awards conferred. Enter the degrees and other awards for each college, university, or vocational-technical institution in each applicable column according to IPEDS guidelines.

For institutions awarding doctoral degrees, enter the doctoral degrees in the 10 highest volume fields (2-digit CIP) to permit classification verification. Please complete the by-field master's/education specialist/post-master's degree section for all doctoral granting universities.

For institutions awarding master's, education specialist, and post-master's degrees, enter the degrees in the 10 highest volume fields to permit classification verification.

For institutions awarding bachelor's degrees, enter the number of bachelor's degree recipients who are identified as teacher preparation majors (1) by a CIP-code designation; or (2) by virtue of taking the requisite teacher education courses; or (3) those otherwise identified as teacher preparation graduates. In the case of (3), please insert a comment explaining how they are identified.

## Part 2 Student Progression Rates

The SREB-State Data Exchange Student Progression Rates survey collects a portion of the National Center for Education Statistics “IPEDS” Graduation Rate Survey (GRS) and additional information on student retention.

For each public four-year college or university, please enter

- The initial fall 1995 cohort of all full-time, first-time bachelor’s or equivalent degree seeking undergraduates (equivalent to GRS Section II, Column 10 — men and women);
- Allowable exclusions from the initial cohort (equivalent to GRS Section II, Column 45 — men and women);
- For retention rates: first enter members of the cohort enrolled at the same institution during fall 1996 or winter/spring 1997 (no GRS equivalent) ; then
- Other students who transferred-out by spring 1997 (no GRS equivalent) ; then
- Other members of the cohort not enrolled by spring 1997 excluding the transferred-out students (no GRS equivalent).
- For graduation rates: members of the cohort earning a bachelor’s or equivalent degree who completed their program by Aug. 31, 2001 within 150% of normal time (6 years) (equivalent to GRS Section II, Column 8a — men and women);
- Non-completers still enrolled (no GRS equivalent);
- Documented transfer-out students (non-completers) by Aug. 31, 2001 within 150% of normal time (equivalent to GRS Section II, column 30 — men and women).

For each public two-year college or postsecondary vocation-technical institute, please enter

- The initial fall 1998 cohort of all full-time, first-time degree or certificate seeking undergraduates (equivalent to GRS Section III, column 10 — men and women);
- Allowable exclusions from the initial cohort (equivalent to GRS Section III, column 45 — men and women);
- For retention rates: first enter members of the cohort enrolled at the same institution during fall 1999 or winter/spring 2000 *including* completers of less than baccalaureate programs who completed by spring 2000 (no GRS equivalent); then
- Other students who transferred-out by spring 2000 (no GRS equivalent); then
- Other members of the 1998 cohort not enrolled by spring 2000 excluding documented transfer-out students.

- For graduation rates: Completers of less than baccalaureate programs who completed their program by Aug. 31, 2001 within 150% of normal time (3 years) (equivalent to GRS Section III, columns 11a and 12a or 29a — men and women);
- Non-completers still enrolled (no GRS equivalent);
- Documented transfer-out students (non-completers) by Aug. 31, 2001 within 150% of normal time (equivalent to GRS Section III, column 30 — men and women).

Each student is to be counted in only one retention category and in only one graduation rate category.

These data will be used to calculate baccalaureate 6-year completion rates of baccalaureate seekers for four-year colleges and universities and 3-year completion rates for two-year colleges and postsecondary vocational-technical schools for students who complete degrees or certificates below the bachelor's level. The SREB baccalaureate completion rate differs from the "student right-to-know completion and graduation rate" for four-year colleges and universities in that it does not include members of the initial cohort whom initially did not seek a bachelor's degree and does not include, for four-year institutions, completions less than a bachelor's.

These data also will be used to calculate first year retention rates for full-time, first-time baccalaureate seekers at four-year colleges and universities and to calculate first year retention rates for full-time, first-time degree or certificate seekers at two-year colleges or technical institutes.

The SREB-State Data Exchange began collecting completion rate data with the 1993 cohort for four-year institutions and with the 1996 cohort for two-year institutions. In 2002-2003, SREB will collect the 6-year graduation rate for the 1996 cohort at two-year institutions (graduates through Aug. 31, 2002). In the 2003-2004 survey, SREB will collect the 10-year graduation rate for the 1993 cohort at four-year institutions (graduates through Aug. 31, 2003).

**Part 3**  
**Estimated Full Year Credit/Contact Hours and**  
**Full-Time-Equivalent Enrollment**

Report all credit/contact hours which could count toward a postsecondary degree or other award, regardless of whether or not the student is enrolled in a formal program, including credit/contact hours offered through extension centers so long as they meet the above condition. Law school credit hours are to be included in the graduate credit hour count. Also include all credit/contact hours in remedial education, developmental education or continuing education, if state or local funding supports the activity. Credit/contact hours should reflect enrollment at the close of the drop/add period or the state's official reporting date for each of the terms in calendar year 2001. Exclude correspondence, short-course and non-credit study (CEU's, etc.) that are not supported by state or local funding.

Only (and all) credit/contact hours that are supported by state or local general-purpose or educational special-purpose operating appropriations, as defined in Part 4 are to be reported. Exclude those hours supported by state operating appropriations for health professions education as defined in Part 4. Specifically, Part 3 excludes: (a) credit hours of Specialized institutions; (b) credit hours of medical schools and all other health professions education, including dentistry, optometry, nursing, pharmacy, and allied health professions at all non-Specialized institutions that have medical schools; and (c) credit hours for schools of veterinary medicine.

Credit/contact hour data are collected to be the basis for computing estimated annual full-time-equivalent (FTE) enrollment for 2001-02. The FTE will go with the appropriate 2001-02 public funding data collected in Part 4 to compute public funding per FTE. In order to have a report in the current year, an estimating procedure had to be developed to arrive at 2001-02 annual FTE. Please enter data for all of the following terms that are applicable: Winter 2001, Spring 2001, Summer 2001, and Fall 2001. (Those states that include two half-summer terms in their fiscal year should combine the appropriate two half terms in the summer 2001 column.)

Non-duplicative counting of student activity is requested. For example, if one student taking one course contributes 3 credit hours to the credit hour count that student's activity in that class should contribute nothing to the contact hour count (or *vice versa*).

FTE enrollment will be calculated for the credit/contact hour data. Estimated annual undergraduate credit hours for semester systems will be divided by 30 to derive undergraduate credit-hour FTE. Estimated annual undergraduate credit hours for quarter systems will be divided by 45 to derive undergraduate credit-hour FTE. Estimated annual graduate credit hours for semester systems will be divided by 24 to derive graduate credit-hour FTE. Estimated annual graduate credit hours for quarter systems will be divided by 36 to derive graduate credit-hour FTE. Estimated annual contact hours will be divided by 900 to derive undergraduate contact-hour FTE.

**Part 4**

## Public Funds for Colleges, Universities and Technical Institutes and for Other Higher Education-Related Operating Expenses

Public funds consist of state and local tax revenues allocated to colleges and universities or for other higher education-related operating expenses, other funds such as earnings from state-funded endowments used for operating purposes, earmarked revenues such as from lotteries used for operating purposes and tuition and fees revenue. Tuition and fee revenues dedicated to debt service, and thus not available to support operating expenses are identified separately.

State operating appropriations are operating appropriations of state tax funds to postsecondary institutions for common institutional purposes. They include: (a) appropriations for faculty and staff fringe benefits, even if they are not part of an institution's direct appropriations; and (b) appropriations which support intercollegiate athletics, if such funds could legally be used to support instruction, research, or public service. They exclude: (a) state health professions education operating appropriations as defined below; (b) all capital outlays including debt service; (c) tax subsidies to institutions or their students; and (d) re-appropriated tuition and fees. Also included are state-generated revenues allocated to colleges and universities such as earnings from state-funded endowments used for operating purposes, ear-marked revenues such as from lotteries used for operating purposes and education enhancement funds.

Local government operating appropriations include appropriations to two-year institutions by local governments that complement or supplement state general-purpose appropriations. Exclude local appropriations for capital outlay and debt service.

Operations are considered general-purpose or educational special-purpose if they support instruction, research and public service. State educational special-purpose operating appropriations are appropriations to campuses or statewide for: community or public service units; non-credit continuing education; agricultural cooperative extension; agricultural experiment stations; engineering experiment stations; research centers/institutes; non health professions education functions at Specialized institutions; and all other educational special-purpose funds. Items are to be identified by campus wherever possible. Include funds that are appropriated directly to the institutions or "pass through" funds that are held at the state level for future allocation to the institutions.

Other special-purpose operating appropriations not for educational purposes include the following categories of higher education-related operations: *Statewide System Operations* includes allocations for coordinating or governing boards for colleges and universities; two-year systems if any; national or regional associations, compacts or consortia; and administration of statewide student financial aid programs including centralized guaranteed student

loan administration; *Support to Private Colleges Other Than for Student Financial Aid*; *Contract Education Programs* includes the SREB contract programs with private colleges, the SREB contract *program* with public colleges, and other contract education programs; and *Statewide Student Financial Aid Programs Administered Off Campus* includes aid available to public or private sector students, aid limited to public sector students, and limited to private sector students. Need-based and non need-based aid are reported separately.

There are three types of state operating appropriations for health-professions education (including overhead) that should be reported in the health-professions education columns: all operating appropriations to specialized institutions which serve primarily as health-science centers; operating appropriations for medical schools and other health professions education, including dentistry, optometry, nursing, pharmacy, nursing, allied health and teaching hospitals at all institutions that have medical schools; and all operating appropriations for schools of veterinary medicine.

The final element of public funding is tuition and fee revenue. Please report budgeted tuition and fee revenue for 2001-02 and separately identify substantial amounts dedicated to debt service.

Report the 2001-02 public funding reflecting any reductions or increases announced by Dec. 31, 2001.

The general-purpose operating appropriation, educational special-purpose funds and tuition and fee revenue are related to public undergraduate and graduate FTE in the SREB report. Other special-purpose funds and funds are used to show the distribution of funds by purpose in the SREB report.

Part 5  
Tuition and Mandatory Fees Charged Full-time  
In-state and Out-of-state Students

Report annualized tuition and mandatory fees charged all full-time students for the 2001-2002 academic year. Mandatory fees are those fees assessed each full-time undergraduate or graduate student regardless of student level or program of study. For example, fees charged only to students in music, laboratory, or nursing courses or other fees unique to a given situation such as late registration or automobile registration should not be reported. Mandatory fees include fees such as health services, building use fees, student activity fees, athletic fees, and auxiliary fees, where the fee is not optional for full-time students.

For purposes of this report, a full-time undergraduate is defined by the following loads: 30 credit hours per year for students on semester systems; 45 credit hours per year for students on quarter systems; and 900 hours per year for students on contact hour systems. A full-time graduate student is defined by the following loads: 24 credit hours per year for students on semester systems; and 36 credit hours for students on quarter systems.

For two-year colleges and technical institutions, "in district" rates should be reported in the "in state" column. "Out-of-district" rates can be reported in the "out-of-state" column, *if no other out-of-state rates apply*.

These data are used to derive the median annualized tuition and mandatory fee statistics.

Part 6  
Tuition-Related Policies

Update the descriptions of your state's tuition-related policies to reflect the 2001-02 academic year. Questions include: Who has the authority to set tuition and fee rates and establish policies? What method or guideline is used to set tuition rates? Are tuition and fee rates stair-stepped or by the credit hour? Are there policies on waiving, reducing or remitting non-resident tuition? Are there caps or limits placed on non-resident enrollment? Are there tuition reciprocity agreements? Do you participate in the SREB Academic Common Market? To what extent must tuition and fee revenue be devoted to capital funding? Are there other sources of capital funding? Is there a special electronic delivery tuition rate distinguished from regular in-state and out-of-state rates?

Part 7  
Average Salaries of Full-time Instructional Faculty

The SREB salary survey employs IPEDS/AAUP guidelines. Report the salaries of faculty on either 9-10-month or 11-12-month basis for the 2001-2002 academic year. Faculty should be reported on the basis of the contract period, not on the basis of the number of installments in which salaries are paid. Special salary amounts, such as those for special programs of longevity pay, should be included.

The averages reported should reflect actual, not budgeted faculty positions and should reflect the pro-rated value of any mid-year salary increases or cuts.

For data reported in the 9-10 month section, a factor of 1 or 100 percent will be used in calculating nine-month-equivalent salaries. For data reported in the 11-12 month section, a factor of 9/11 or 81.81818 percent will be used. If this procedure is not reasonably accurate for your data, then complete the "combined salaries" section and indicate the factor or factors used to convert to nine-month-equivalence and provide a brief rationale for not using the standard conversion factor.

Do not report "all ranks" averages in the "single rank" column. The "single rank" column is for the reporting of two-year college systems who assign all faculty to one rank (most often "instructor").

These data are used to calculate weighted average nine-month-equivalent faculty salaries. Please report salary **averages** not total dollar amounts.

**Part 8**  
**Faculty Benefits Amounts for Full-time**  
**Instructional Faculty**

The SREB survey employs IPEDS/AAUP guidelines. Expenditures should be reported to the nearest whole dollar.

Report the projected fringe benefit expenditures that will be paid by the institutions, local governments or state, to full-time instructional faculty for the academic year 2001-2002. Fringe benefits should only be reported for salaried instructional faculty reported in Part 6. The fringe benefit amounts of all faculty on 9-10-month contracts and for those on 11-12-month contracts should be reported separately. Report appropriated amounts for retirement plans, health plans, disability plans, social security, unemployment compensation, group life insurance, workers' compensation, tuition plans and other benefits.

The "total amounts" and "total number" columns are automatically calculated. Please verify that the numbers reported are congruent with those reported in Part 6. Report fringe benefit amounts, not averages.

For data reported in the 9-10 month section, a factor of 1 or 100 percent will be used in calculating nine-month-equivalent salaries. For data reported in the 11-12 month section, a factor of 9/11 or 81.81818 percent will be used. If this procedure is not reasonably accurate for your data, then complete the "combined" section and indicate the factor or factors used to convert to nine-month-equivalence and provide a brief rationale for not using the standard conversion factor.

These data are used to compute weighted average nine-month-equivalent benefits as a percent of salary statistics.

**Part 9**  
**Faculty Benefits Descriptions**

Complete a brief descriptive paragraph for each of the benefit categories covered in Part 8. Indicate key elements of the benefit program, options available, and other pertinent facts. If you have not previously completed this section, please refer to last year's summary report for examples from other states.