

Appendix A

STATE HIGHER EDUCATION EXECUTIVE OFFICERS

SURVEY ON 1996-97 STATE TUITION, FEES, & FINANCIAL ASSISTANCE POLICIES

This survey solicits information on state-level policies and procedures governing public higher education tuition, fees, and financial assistance. For simplicity, the term "tuition" as used in this survey includes all standard student charges including required "education fees" in states that prohibit tuition per se.

Some questions are intended to update and clarify information collected through the last SHEEO survey on this topic in 1992. Other questions are new or expanded to reflect the changing financial and political circumstances in which tuition policies are set. This is not a survey of the actual rates or amounts of current tuition, since there are already several sources for these data.

Section I: Current Policies & Changes

1. Please send a copy of your state tuition policies for 1996-97 for public four-year and two-year institutions (if different) including policies that address the following:

- tuition setting
- defining resident/nonresident status
- tuition reciprocity/"good neighbor"
- student fees
- technology fees
- financial assistance

"Tuition policies" in this context may include constitutional or statutory provisions, governing or coordinating board policies or procedures, and less formal practices within the appropriations, budget review, or formula funding systems that affect tuition charges within the state.

2. Policy changes:	4-Year		2-Year	
a. Do your 1996-97 policies reflect any changes since 1994-95? (Please describe.)	Y	N	Y	N
b. Is your state considering a change in these policies for 1997-98? (Please describe.)	Y	N	U	Y N U

Y = Yes; N = No; U = Unknown

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Section II: Resident Students

3. The following statements characterize different philosophies or approaches used in setting tuition levels. Please indicate the statement that best characterizes the overall tuition philosophy for four-year and two-year colleges in your state.

A--Tuition should be as low as possible.

B--Tuition should be moderate.

C--Tuition should be high.

D--There is no statewide philosophy; tuition is guided by institutional-level philosophy or budgetary needs.

E--Other--please describe.

	4-Year					2-Year				
Statement that best characterizes overall tuition philosophy.	A	B	C	D	E	A	B	C	D	E

4. Tuition setting:	4-Year					2-Year				
a. Tuition is what percentage of the cost of undergraduate instruction?	_____ %					_____ %				
b. Is this percentage mandated?	Y		N			Y		N		
c. Does any governing body in your state (e.g., legislature, governing board) limit the annual rate of tuition increase? <i>(Please explain.)</i>	Y		N			Y		N		

5. Which of the following governmental bodies has authority to establish tuition rates in your state? Circle the letter corresponding to the type of authority: **constitutional (C)**, **statutory (S)**, by **practice (P)**, or **none (N)**.

	4-Year					2-Year				
a. Legislature	C	S	P	N		C	S	P	N	
b. State coordinating/governing agency	C	S	P	N		C	S	P	N	
c. System governing board	C	S	P	N		C	S	P	N	
d. Institutional/local district governing board	C	S	P	N		C	S	P	N	
e. Other <i>(Please specify.)</i>	C	S	P	N		C	S	P	N	

6. Which of the following factors are used in setting tuition rates? For each factor, indicate if there is a **direct linkage** ("indexing") between the factor and the tuition rate (**D**); whether the factor is considered **indirectly** (**I**); or the factor is **not taken into account** (**N**).

	4-Year			2-Year		
a. Consumer Price Index (CPI)	D	I	N	D	I	N
b. Higher Education Price Index (HEPI)	D	I	N	D	I	N
c. Cost of living	D	I	N	D	I	N
d. State personal or disposable income	D	I	N	D	I	N
e. State general fund appropriations	D	I	N	D	I	N
f. Cost of instruction/education	D	I	N	D	I	N
g. Prior year's tuition	D	I	N	D	I	N
h. Other student fees or charges	D	I	N	D	I	N
i. Peer institutions or groups	D	I	N	D	I	N
j. Financial aid	D	I	N	D	I	N
k. Institutional mission	D	I	N	D	I	N
l. Other (<i>Please specify.</i>)	D	I	N	D	I	N

7. Are the following types of differential tuition used in your state?

	4-Year		2-Year	
a. Resident/nonresident	Y	N	Y	N
b. Upper division/lower division	Y	N	Y	N
c. Undergraduate/graduate	Y	N	Y	N
d. Programmatic	Y	N	Y	N
e. Credit/non-credit bearing	Y	N	Y	N
f. Credit hours beyond a specific number (e.g., credit hours above 140 are charged at a higher rate)	Y	N	Y	N
g. Other (<i>Please explain.</i>)	Y	N	Y	N

8. Below are statements that describe tuition revenue policies. Which best describes the tuition revenue policies for four-year and two-year colleges in your state?

A--Tuition revenues are retained at the state level under the control of a governing or coordinating board.

B--Tuition revenues are controlled and retained by an institution or campus.

C--Tuition revenues are deposited in separate state tuition accounts from which all funds must be appropriated prior to expenditure for higher education purposes.

D--Tuition revenues are deposited in the state general funds, with their return to higher education only inferred.

E--Other (Please describe.)

	4-Year					2-Year				
Statement that best characterizes the tuition revenue policies in your state. (Please note exceptions.)	A	B	C	D	E	A	B	C	D	E

Section III: Nonresident Students

9. How is nonresident (out-of-state) tuition set in your state for four-year and two-year institutions? Is this by **state statute (S)**; **formal policy**, but not in statute (**F**); an **informal practice (I)**; or **does not apply (N)**?

	4-Year					2-Year				
a. Indexed to the cost of instruction e.g., 100% of instructional costs. (Specify percent.)	S	F	I	N	_____ %	S	F	I	N	_____ %
b. A multiple of resident undergraduate tuition e.g., 2 times the resident rate. (Specify factor.)	S	F	I	N	_____ times	S	F	I	N	_____ times
c. Other. (Please describe.)	S	F	I	N		S	F	I	N	

10. Other tuition policies:	4-Year		2-Year	
a. Does your state have undergraduate tuition reciprocity agreements with other states?	Y	N	Y	N
b. Does your state have a "good neighbor" policy for students from neighboring states?	Y	N	Y	N

Section IV: Fees

11. ***Mandatory fees** are defined as all fees that a majority of full-time students are required to pay in addition to tuition. For example, they may include registration, health services or insurance, student activity, computer use, debt service, and/or university support fees.*

***Designated fees** are defined as fees that are charged to (1) students enrolled in specific courses or academic programs to cover supplies or equipment; (2) certain categories of students, such as graduates, entering students, doctoral students; or (3) students who use specific services such as computer use fees for specific courses.*

What entities in your state have the authority to set fees? Does this apply to **mandatory (M)** and/or **designated fees (D)**? (Circle all that apply.)

	4-Year		2-Year	
a. Legislature	M	D	M	D
b. State coordinating/governing agency	M	D	M	D
c. System governing board	M	D	M	D
d. Institutional/local district governing board	M	D	M	D
e. Other (Please specify.)	M	D	M	D

12. Technology fees:	4-Year	2-Year
a. Are there guidelines or policies at the state-level specifically addressing technology fees?	Y N	Y N
b. Are individual institutions currently authorized to charge a technology fee?	Y N	Y N
c. What is the range of technology fees for on-campus classes for 1996-97: per credit hour? per term (<i>flat rate for full-time student</i>)?	\$ _____/ch \$ _____/term	\$ _____/ch \$ _____/term
d. What surcharges or special fees are imposed on distance-learning classes for 1996-97: per credit hour? per term (<i>flat rate</i>)?	\$ _____/ch \$ _____/term	\$ _____/ch \$ _____/term
e. Typically, what are the stated purposes for these technology fees?		

Section V: Financial Assistance

13. Please describe the relationship between the tuition policies and financial aid policies in your state.

14. Does your **state** offer any of the following student assistance programs? Circle the letter corresponding to the authority for offering the program: program offered under **state statute (S)**; program offered through a **formal policy**, but not in statute (**F**); program offered at discretion of **institutions (I)**; program **not offered (N)**. Please provide explanations of items as needed or attach any descriptive materials that pertain to any of these programs.

	4-Year				2-Year			
a. Need-based grants	S	F	I	N	S	F	I	N
b. Merit-based scholarships	S	F	I	N	S	F	I	N
c. Loan forgiveness programs (including conditional scholarships)	S	F	I	N	S	F	I	N
d. State-based work-study programs	S	F	I	N	S	F	I	N
e. State-funded guaranteed loans	S	F	I	N	S	F	I	N
f. Tuition prepayment plans/tuition savings plans	S	F	I	N	S	F	I	N
g. Taylor/Eugene Lang plans (waivers guaranteed at early age upon meeting certain criteria)	S	F	I	N	S	F	I	N
h. Other (<i>Please specify.</i>)	S	F	I	N	S	F	I	N

15. Do the **public institutions** in your state provide tuition waivers (full or partial) for any of the following categories of students? Circle the letter corresponding to the authority for offering the waiver: waiver offered under **state statute (S)**; waiver offered through a **formal policy**, but not in statute (**F**); waiver offered at discretion of **institutions (I)**; waiver **not offered (N)**. Please provide explanations of items as needed or attach any descriptive materials that pertain to any of these waivers.

	4-Year				2-Year			
a. Graduate assistants	S	F	I	N	S	F	I	N
b. Student athletes	S	F	I	N	S	F	I	N
c. Faculty/staff members	S	F	I	N	S	F	I	N
d. Dependents of faculty/staff members	S	F	I	N	S	F	I	N
e. State employees/civil servants (other than faculty/staff)	S	F	I	N	S	F	I	N
f. Dependents of state employees/civil servants (other than faculty/staff)	S	F	I	N	S	F	I	N
g. Dependents of deceased police officers or fire fighters	S	F	I	N	S	F	I	N
h. Participants in public service programs (e.g., Campus Compact)	S	F	I	N	S	F	I	N
i. Military (e.g., veterans, National Guard)	S	F	I	N	S	F	I	N
j. Senior citizens	S	F	I	N	S	F	I	N
k. Students who qualify for need-based aid	S	F	I	N	S	F	I	N
l. Students who qualify for merit-based aid	S	F	I	N	S	F	I	N
m. Other (<i>Please specify.</i>)	S	F	I	N	S	F	I	N