

Appendix B: Survey Instrument

SURVEY OF 2002-2003 STATE TUITION, FEES, & FINANCIAL ASSISTANCE POLICIES FOR PUBLIC COLLEGES AND UNIVERSITIES

The purpose of this survey is to solicit information on state-level policies and procedures governing public higher education tuition, fees, and student 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 SHEEO/WICHE surveys on this topic in 1996 and 1999. 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 several sources already exist for those data.

Thank you for your participation in this project.

Section A - Tuition Philosophy and Authority

1. a) Which of the following statements best describes the overall tuition philosophy or approach for public colleges and universities in your state? (please check one):
 - Tuition should be as low as possible.
 - Tuition should be moderate.
 - Tuition should be high.
 - Tuition policy is guided by institutional-level philosophy or budgetary needs.
 - No statewide tuition philosophy exists.
 - Other (*please describe*):
- b) Describe, if possible, the rationale for the philosophy stated above (e.g., tuition should be low to maximize access, high tuition is combined with high financial aid, institutions best understand their fiscal situation, etc.).
- c) Is this tuition policy formalized in the state constitution, by legislative statute, by other rule or policy, or not formalized? (*please check one*):
 - Constitution Statute Other rule/policy Not formalized
2. Have recent economic conditions led to any short-term actions or policies on tuition that are in conflict with general or long-term philosophies?
 - Yes (*please describe*): No Unsure
3. a) Describe any long-term tuition policy changes in your state in the past three fiscal years—F'00, F'01, F'02 (not changes in tuition levels).
- b) Are there any potential tuition policy changes under consideration in your state for F'03? If so, please describe.

- c) Has an official or formal study group or commission on tuition policy been established or appointed in your state at any time in the past three fiscal years? If yes, please describe and provide a copy of any written report to result from the initiative.

Yes (*please describe*): No Unsure

- d) If a group or commission has not convened in the past three fiscal years, do plans exist for such an initiative in the near future?

Yes (*please describe*): No Unsure

4. a) Describe the role of each of the following individuals or entities in establishing tuition rates and/or policies in your state (advisory/consultative role, decision making authority, no role, etc.).

Governor:

Legislature:

State coordinating/governing agency:

Individual system governing board(s):

Local district governing board(s) (*two-year only*):

Individual institutions:

Other (*Please specify*):

- b) Which of the entities on the previous page has primary authority for establishing tuition?
- c) If *individual institutions* have primary authority, which of the following statements best describes the nature of their authority?

Individual institutions set tuition rates within *very strict guidelines or parameters* established by local or state-level entities.

Individual institutions set tuition rates within *moderate or limited guidelines* established by local or state-level entities.

Individual institutions set tuition rates with no external restrictions.

- d) What incentives, if any, exist at the state or institutional level to minimize tuition increases?

5. How have term limits, or other changes in state legislative culture, affected tuition policies and philosophy in your state over the past three years?

6. Indicate which of the following tuition revenue appropriation policies are in place in your state:

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

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

- Tuition revenues are retained at the state level but under the direct control of a state governing or coordinating board.
- Tuition revenues are deposited into state general funds, with their return to higher education only inferred.
- Other (*Please describe*):

Section B - Undergraduate Tuition Setting

1. The following factors may be used by various individuals/groups who set public institution resident tuition rates in the states. Using a scale of 1 to 5, please indicate the level of influence exerted by each of the factors in decision making about tuition levels in your state. Also note if tuition is **directly indexed** to each of the given factors. If individual institutions are responsible for setting tuition, use your best judgment in assessing the role of each factor in the statewide aggregate.

- 1 = no influence 2 = minimal influence 3 = some influence
 4 = moderate influence 5 = significant influence

Factors	Level of Influence	Check if tuition is directly indexed to the factor
a. Consumer Price Index (CPI)	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
b. Higher Education Price Index (HEPI)	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
c. Other cost of living indexes	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
d. State per capita personal or disposable income	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
e. State general fund appropriations	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
f. Tuition charged by peer institutions	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
g. Tuition policies of comparison states	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
h. Formal or informal analyses or beliefs about the relative mix of individual and public benefits of higher education	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
i. Institutional mission	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
j. Cost of instruction	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
k. Prior year's tuition	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
l. Other student fees or charges	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
m. Availability of/appropriations for financial aid	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
n. State workforce needs	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
o. Public concern or opinion about the cost of higher education	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
p. Media pressure or attention to higher education costs	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>
q. Other (<i>please describe</i>):	<input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5	<input type="checkbox"/>

2. a) Of the above list (a-q), please indicate the **three most influential factors** in setting resident tuition rates in your state over the past three fiscal years: 1. 2. 3.

b) Do you anticipate that the relative level of influence of the factors in the above list (a-q) will change in the near future?

Yes No Unsure

3. Has there been a curb, cap, freeze or other limit placed on tuition at any time in your state in the past three fiscal years?

Yes (*please describe*): No Unsure

4. Indicate if each of the following types of differential tuition is used for resident students at public colleges and universities in your state.

Types of differential tuition	Yes	No	Unsure
a. Upper division/lower division	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Undergraduate/graduate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Programmatic (varies by major or course)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Credit/non-credit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. In-district/out-of-district (<i>two-year schools only</i>)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. On-site or classroom based instruction/off-site or distance education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Credit hours beyond a specific number (e.g., credit hours above 140 are charged at a higher rate)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Other (<i>please describe</i>):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Indicate which of the following statements describes how undergraduate **resident** tuition is set in your state. *Please check all that apply.*

a. Tuition is set per credit hour regardless of how many credits the student is taking.	<input type="checkbox"/>
b. Tuition is set at a flat rate for full-time students.	<input type="checkbox"/>
c. A per credit surcharge is imposed at or above a specific number of credit hours.	<input type="checkbox"/>
d. Tuition is set at a mandated percentage of the cost of undergraduate instruction. The percentage is __ %.	<input type="checkbox"/>
e. No formal policy exists on resident tuition setting.	<input type="checkbox"/>
f. Other (<i>please describe</i>):	<input type="checkbox"/>

6. Indicate which of the following statements describes how undergraduate **nonresident** (out-of-state) tuition is set in your state. *Please check all that apply.*

a. Tuition is set at a mandated percentage of the cost of undergraduate instruction. The percentage is __%.	<input type="checkbox"/>
b. Tuition is indexed to the undergraduate resident tuition (e.g., 2 times the resident tuition rate). The percentage is __%.	<input type="checkbox"/>
c. No formal policy exists on nonresident tuition setting.	<input type="checkbox"/>
d. Other (<i>please describe</i>):	<input type="checkbox"/>

7. Does your state have undergraduate tuition reciprocity agreements with other states? If yes, please briefly describe and/or provide a copy of the policy.

- Yes (*please describe*): No Unsure

8. Does your state provide tuition reduction, tuition rebates, and/or loan forgiveness to graduates of selected programs/majors who provide service to the state following graduation in given fields or professions? If yes, briefly describe or provide a copy of the policy.

- Yes (*please describe*): No Unsure

9. Please describe any other tuition policies that are present in your state.

Section C - Fees

In this section, the term "fees" refers to both mandatory and designated fees. **Mandatory fees** are defined as charges that most full-time students are required to pay in addition to tuition. **Designated fees** are defined as charges that apply to specific classifications only, such as certain courses, programs, services, or groups of students.

1. a) Describe the philosophy in your state specifically related to student fees (for example, fees make up for tuition limitations, fees are institutionally controlled, etc.).
- b) Is this fee philosophy formalized in the state constitution, by legislative statute, by other rule or policy, or not formalized?

Constitution Statute Other rule/policy Not formalized
- c) Describe any fee policy changes in your state in the past three fiscal years (not changes in fee levels).
- d) Are there any potential fee policy changes under consideration for F'03? If so, please describe.
- e) Has there been a curb, cap, freeze or other limit placed on fees in the past three fiscal years?

Yes (*please describe*): No Unsure

2. Describe the relationship (formal or informal) between the tuition policies and fee policies in your state (e.g., viewed as similar but different source of funds, no relationship, etc.).
3. Please indicate which entities in your state have the authority to set mandatory and/or designated fees. *Check all that apply.*

Authority to set fees	Mandatory	Designated
a. Governor	<input type="checkbox"/>	<input type="checkbox"/>
b. Legislature	<input type="checkbox"/>	<input type="checkbox"/>
c. State coordinating/governing agency	<input type="checkbox"/>	<input type="checkbox"/>
d. Individual system governing board(s)	<input type="checkbox"/>	<input type="checkbox"/>
e. Local district governing board(s) (two-year only)	<input type="checkbox"/>	<input type="checkbox"/>
f. Individual institutions	<input type="checkbox"/>	<input type="checkbox"/>
g. Other (<i>please describe</i>):	<input type="checkbox"/>	<input type="checkbox"/>

Section D - Student Financial Aid

1. a) Describe the student financial aid philosophy or policy in your state including both need-based and merit-based aid (aid should reward achievement, aid should promote access, etc.).
- b) Is this financial aid policy formalized in the state constitution, by legislative statute, by other rule or policy, or not formalized?

Constitution Statute Other rule/policy Not formalized

2. The following are a list of possible goals of student financial aid policy. Understanding that multiple programs might exist in your state to meet a variety of objectives, please indicate, using a scale of 1 to 5, the relative influence of each of the goals in the creation and adjustment of a comprehensive financial aid program.

1 = no influence

2 = minimal influence

3 = some influence

4 = moderate influence

5 = significant influence

Goal of Financial Aid Policy	Level of Influence				
a. Promote broad <i>access</i> to higher education	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
b. Improve the <i>affordability</i> of higher education	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
c. Facilitate student <i>choice</i> among higher education providers in the state	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
d. Help <i>equalize tuitions</i> between public and private institutions in the state	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
e. Promote the <i>retention</i> and eventual graduation of students from college	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
f. <i>Recognize talent</i> and <i>reward effort</i> of students	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5
g. Prepare and place students into <i>specific careers</i>	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5

- a) Which of these goals (a-g) has the *greatest influence* on financial aid policy in your state?
 - b) Describe any financial aid policy changes (not financial aid appropriations) in the last three fiscal years.
 - c) Are there any potential financial aid policy changes under consideration for F'03? If so, please describe.
3. Describe the overall relationship (formal or informal) between tuition policies and financial aid policies in your state (e.g., high tuition/high aid, no relationship, unsure, etc.), including any differences that might exist between college/university sectors.
4. Do financial aid policies differ for students attending public vs. private institutions in your state?
- Yes (*please describe*):
 No
 Unsure
5. Check which, if any, of the following student financial assistance programs your state offers.

Student Assistance Programs	Offered under state statute	Offered through a formal policy but not in statute	Offered at discretion of institutions	Not offered
a. Need-based grants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. General, statewide merit-based scholarships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Specifically targeted merit-based scholarships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Loan forgiveness programs (including conditional scholarships)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. State-funded work-study programs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. State-funded guaranteed loans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Programs designed to increase access/participation of members of specific groups/populations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. State tax credits or tax deductions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Other (<i>please specify</i>):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section E - Affordability

- 1. Describe any initiatives being discussed in your state to address the affordability of college for students and their families. Include any initiatives or collaboration with other agencies to provide consumer information on college price and the financing of higher education, including financial aid programs. *Please send a copy of any written materials developed in your state.*
 - 2. Have you utilized either the NACUBO methodology ("Explaining College Costs") or the National Committee on Cost report ("Straight Talk About College Costs and Prices") in developing public relations materials about the cost of college and university study in your state?
- Yes
 No

3. Please indicate if your state is considering any new development of, or any changes in, either a prepaid tuition program or a college savings plan.
4. What consideration, if any, has been given in your state to the impact of tuition prepayment programs or college savings plans on tuition levels? By whom?
5. Below is a list of possible state policy responses to the 1997 federal legislation creating various education tax credits and deductions, including the HOPE Scholarship and Lifetime Learning tax credits. Check which of the following actions have been taken in your state, those currently under consideration, and those not under consideration.

Action	ActionTaken	Under consideration	Not under consideration
a. Raise tuition to take advantage of new tax credits.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Take federal tax credits into account when calculating state student aid eligibility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Create state-level programs that replicate the federal initiatives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Conform the state tax code to federal policy to simplify the tax process for families.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Create a state prepayment or college savings plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Publicize the availability of federal tax credits as a means to finance college.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Provide bridge loans to students.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Other (<i>please describe</i>):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note: These options are based on The National Center for Public Policy and Higher Education's 1998 report, *Maximizing the Effectiveness of the New Federal Tuition Tax Credits* (July, 1998).

Section F - Summary

1. Please describe any differences in philosophy or policy concerning tuition, fees, and student financial aid at public **two-year vs. four-year** institutions in your state.
2. Please provide any additional comment on any individual item or section of this survey.

Respondent Information

State/Agency:

Name of Respondent:

Title:

Phone:

Fax:

E-mail:

Thank you for your assistance in completing this survey.

Please return your completed survey by following these steps:

- Save the document (you can use the same document name or create a unique name)
- Attach the saved document to an e-mail message
- Send to crasmussen@sheeo.org

You can also print your completed document and send via fax or standard mail to:

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