

# **Appendix A**

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# **Appendix B**

## **Sampling Details**

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## B.1 Target Population and Sample Design Overview

The 2004 National Postsecondary Student Aid Study (NPSAS:04) target population consists of all eligible students enrolled at any time between July 1, 2003, and June 30, 2004, in postsecondary institutions in the United States or Puerto Rico which had signed Title IV participation agreements with the U.S. Department of Education making them eligible for the federal student aid programs (Title IV institutions). To be eligible for NPSAS, students had to be enrolled in either an academic program with at least one course for credit that could be applied toward fulfilling the requirements for an academic degree or enrolled in an occupational or vocational program that requires at least 3 months or 300 clock hours of instruction to receive a degree, certificate, or other formal award. Eligible students could not be concurrently enrolled in high school and could not be enrolled solely in a general equivalency diploma (GED) or other high school completion program. The target population is the population about which inferences will be made. The survey population is the population actually covered by the sampling frame. Nearly all members of the target population also are members of the survey population; however, the adopted definition of the survey population allowed the student lists needed for sample selection to be obtained before June. More specific definitions of the institution and student populations are provided later in this appendix.

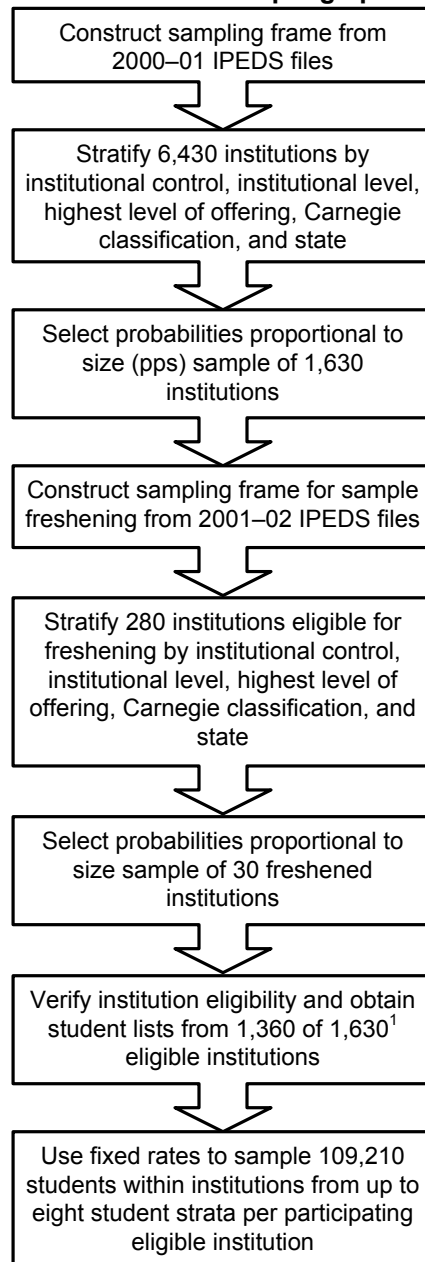
There have been three changes in the design of NPSAS over time. For NPSAS:2000, the survey was restricted for the first time to institutions participating in Title IV student aid programs. Another design change was made beginning with NPSAS:90 to improve full-year estimates. NPSAS:87 sampled students enrolled in the fall (October). However, NPSAS:90 sampled students who were enrolled at four discrete points in time: summer (August), fall (October), winter (February), and spring (June). Since implementation of NPSAS in 1993, institutions have been asked to provide one list that represented students enrolled at any time during the respective financial aid award year. In NPSAS:87 and NPSAS:90, those students who were initially sampled in the fall could have been enrolled for the full academic year. Another difference to note is that Puerto Rico was not part of the sample in NPSAS:87.

An overview of the sequential statistical sampling process for NPSAS:04 is provided in figure B-1. The goal of all sampling activities was to attain the numbers of eligible sample postsecondary students (within specified student and institution types) required by the National Center for Education Statistics (NCES). Since it was necessary to select the student samples on a flow basis as sample institutions provided their enrollment lists (to meet the data collection schedule), the students were sampled at fixed rates.<sup>1</sup> Under this approach, the actual numbers of students sampled are random variables; however, the sampling rates were set to meet or exceed, in expectation, the sample sizes shown in table B-1 and B-2.

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<sup>1</sup> The target population includes students enrolled at any time between July 1, 2003 and June 30, 2004. The Integrated Postsecondary Education Data System (IPEDS) data used for the initial sampling frame were collected in 2001, and the IPEDS data used for sample freshening (described in section 2.1.2) were collected in 2002. Thus, any institutions that came into existence or became eligible between the IPEDS data collections in 2002 and June 30, 2004 were not included.

Figure B-1. Schematic of sequential NPSAS:04 sampling operations



<sup>1</sup> The 1,630 eligible institutions include the 1,630 originally selected, minus 30 ineligible institutions, plus 30 institutions from the freshened sample.

NOTE: IPEDS = Integrated Postsecondary Education Data System.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).

**Table B-1. Target numbers of sample students, by institutional characteristics and type of student: 2004**

Institutional stratum	All students	Undergraduates			Graduate students	First-professionals
		All undergraduates	FTBs	Other undergraduates		
All institutions	121,680	110,560	56,070	54,490	9,340	1,780
Public less than 2-year	4,990	4,990	4,540	440	†	†
Public 2-year	45,060	45,060	20,280	24,780	†	†
Public 4-year non-doctorate-granting	11,270	10,480	3,380	7,110	790	†
Public 4-year doctorate-granting	21,130	15,060	4,570	10,490	5,210	860
Private not-for-profit less-than-4-year	3,310	3,310	2,740	570	†	†
Private not-for-profit 4-year non-doctorate-granting	10,250	9,650	4,320	5,340	600	†
Private not-for-profit 4-year doctorate-granting	10,220	6,620	2,750	3,870	2,680	920
Private for-profit less-than-2-year	9,040	9,040	8,830	210	†	†
Private for-profit 2-year or more	6,430	6,340	4,670	1,680	80	†

† Not applicable.

NOTE: Detail may not sum to totals because of rounding. First-time beginner (FTB) and other undergraduate counts are based on the status known at the time of sampling.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).

**Table B-2. Target numbers of sample students in the 12 state representative samples, by institutional stratum and type of student: 2004**

Institutional stratum	All undergraduates	FTBs	Other undergraduates
California	11,510	1,910	9,590
Public 2-year	8,620	1,120	7,500
Public 4-year	2,070	490	1,570
Private not-for-profit 4-year	820	310	520
Connecticut	1,510	660	850
Public 2-year	590	250	340
Public 4-year	500	210	290
Private not-for-profit 4-year	420	210	210
Delaware	1,770	800	970
Public 2-year	720	290	440
Public 4-year	640	320	320
Private not-for-profit 4-year	410	200	210
Georgia	2,340	1,200	1,140
Public 2-year	1,160	750	410
Public 4-year	800	280	530
Private not-for-profit 4-year	380	180	200
Illinois	4,170	1,680	2,490
Public 2-year	2,560	1,120	1,440
Public 4-year	790	230	560
Private not-for-profit 4-year	810	330	480
Indiana	1,970	910	1,060
Public 2-year	470	250	220
Public 4-year	1,010	420	600
Private not-for-profit 4-year	490	240	250
Minnesota	2,390	1,320	1,070
Public 2-year	1,360	910	440
Public 4-year	640	220	420
Private not-for-profit 4-year	390	190	200
Nebraska	1,400	650	750
Public 2-year	530	270	260
Public 4-year	580	250	330
Private not-for-profit 4-year	290	130	160
New York	5,140	2,230	2,910
Public 2-year	1,900	1,030	870
Public 4-year	1,380	410	970
Private not-for-profit 4-year	1,860	790	1,070
Oregon	1,970	860	1,110
Public 2-year	1,090	490	600
Public 4-year	590	230	360
Private not-for-profit 4-year	290	140	150
Tennessee	1,810	800	1,010
Public 2-year	750	370	380
Public 4-year	660	230	430
Private not-for-profit 4-year	400	200	200
Texas	6,260	2,970	3,290
Public 2-year	4,030	2,280	1,740
Public 4-year	1,640	450	1,190
Private not-for-profit 4-year	600	240	360

NOTE: Detail may not sum to totals because of rounding. First-time beginner (FTB) and other undergraduate counts are based on the status known at the time of sampling.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).

The NPSAS:04 sample also was designed to achieve at least four student respondents from each sample institution that had at least that many eligible students enrolled during the NPSAS year. This was to have sufficient yield for variance estimation. Consequently, institution sample sizes were determined to achieve at least 10 sample students per institution. NPSAS also included state-representative undergraduate student samples for three types of institution (public 4-year, public 2-year, and private not-for-profit 4-year) in 12 states.<sup>2</sup>

Given the student sample size goals, the desired number of participating institutions was determined to be approximately 1,450. Based on projected institutional participation rates obtained in prior NPSAS rounds and the NPSAS:04 field test, an initial sample of about 1,600 institutions was initially selected. Approximately 30 additional sample institutions were added during a freshening process at a later date.

## B.2 The Institutional Sample

The target population for NPSAS:04 included nearly all Title IV participating postsecondary institutions in the 50 states, the District of Columbia, and Puerto Rico.<sup>3</sup> To be eligible for NPSAS:04, an institution was required, during the 2003–04 academic year, to

- offer an educational program designed for persons who had completed secondary education;
- offer at least one academic, occupational, or vocational program of study lasting at least 3 months or 300 clock hours;
- offer courses that were open to more than the employees or members of the company or group (e.g., union) that administered the institution;
- be located in the 50 states, the District of Columbia, or Puerto Rico;
- be other than a U.S. Service Academy;<sup>4</sup> and
- have a signed Title IV participation agreement with the U.S. Department of Education.

As indicated above, institutions providing only avocational, recreational, or remedial courses or only in-house courses for their own employees were excluded. The listed eligibility requirements are consistent with those used in previous NPSAS rounds, with two exceptions: the last requirement was new for NPSAS:2000, and offering more than just correspondence courses was no longer a requirement beginning with NPSAS:04.

### B.2.1 Sample Frame Construction

The institution sampling frame for NPSAS:04 was constructed from the 2000–01 Integrated Postsecondary Education Data System (IPEDS) Institutional Characteristics (IC) and

<sup>2</sup> These 12 states were selected by NCES from those expressing interest. The 12 states were categorized into three groups based on population size: four small states (Connecticut, Delaware, Nebraska, Oregon), four medium-size states (Georgia, Indiana, Minnesota, Tennessee), and four large states (California, Illinois, New York, Texas).

<sup>3</sup> Title IV participating institutions excluded from the target population were the five U.S. service academies.

<sup>4</sup> These academies were not eligible for this financial aid study because of their unique funding/tuition base.

header files. The IPEDS files provided nearly complete coverage<sup>5</sup> of the institutions in the target population. Listings include (a) all institutions whose primary purpose is the provision of postsecondary education; (b) all branches of colleges, universities, and other institutions, as long as the branch offers a full program of study (not just courses); (c) free-standing medical schools, as well as schools of nursing, schools of radiology, etc., within hospitals; and (d) schools offering occupational and vocational training with the intent of preparing students for work (e.g., a modeling school training for professional modeling—not just a charm school). The IPEDS files do not include (a) schools not open to the general public (i.e., training sites at prisons, military installations, corporations); (b) hospitals offering internships or residency programs only; or hospitals that only offer training as part of a medical school program at an institution of higher education; (c) organizational entities providing only noncredit continuing education (CEUs); (d) schools whose only purpose is to prepare students to take a particular test, (e.g., CPA examination or Bar exams); or (e) branch campuses of U.S. institutions in foreign countries. Institutions in the file that were not eligible (e.g., institutions located outside the United States and Puerto Rico, central offices, military academies) were deleted from the population file.

The IPEDS file exclusions, themselves, eliminate some categories of ineligible institutions; however, additional deletion from this file was required. Starting with the 9,000 “institutions” on this database, records were deleted to yield a sampling frame containing 6,430 institutions *appearing* to be eligible for NPSAS:04 based on their 2000–01 IPEDS data. Deletions included (1) administrative units; (2) U.S. service academies; (3) schools outside of the United States and Puerto Rico; (4) institutions offering no programs of at least 300 content hours, six semesters/trimesters, or 12 quarter hours and for which the highest level of offering was a certificate or diploma of less than one academic year; (5) institutions offering only correspondence courses; and (6) institutions not eligible for Title IV funding.

Because enrollment data were needed to compute measures of size for sample selection, the 2000 IPEDS Fall Enrollment Survey data were edited and/or imputed to eliminate missing data. IPEDS unduplicated counts could not be used because at the time they did not go through the IPEDS imputation procedure. Missing undergraduate, graduate, and first-professional enrollments were set to zero for institutions that did not offer that level of instruction, and missing first-time student counts were set to zero for graduate institutions. Sets of records were identified for which the enrollment data either (a) were reported with another institution’s, or (b) contained combined data. In such cases, the combined enrollment data were allocated equally to all institutions in the set, with the exception that if a “parent” institution was identified, that institution was assigned double the enrollment of the “children” institutions. For institutions with any missing enrollments, enrollment was imputed using the IPEDS methodology.

The eligible institutions on the sampling frame were partitioned into 58 institutional strata based on institutional control, level, highest level of offering, Carnegie classification, and state. The 58 institutional strata are listed below:

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<sup>5</sup> The target population includes students enrolled at any time between July 1, 2003 and June 30, 2004. The IPEDS data used for the initial sampling frame were collected in 2001, and the IPEDS data used for sample freshening (to be described in section 2.1.2) were collected in 2002. Thus, any institutions that came into existence or became eligible between the IPEDS data collections in 2002 and June 30, 2004 were not included.



1. Public less than 2-year
2. Public 2-year, associate's Carnegie classification
3. Public 2-year, other Carnegie classification—degree-granting
4. Public 2-year, other Carnegie classification—NPSAS only
5. Public 4-year non-doctorate-granting, master's Carnegie classification
6. Public 4-year non-doctorate-granting, bachelor's Carnegie classification
7. Public 4-year non-doctorate-granting, other Carnegie classification
8. Public 4-year doctorate-granting, doctor's Carnegie classification
9. Public 4-year doctorate-granting, other Carnegie classification
10. Public 4-year NPSAS only
11. Private not-for-profit less-than-4-year, associate's Carnegie classification
12. Private not-for-profit less-than-4-year, other Carnegie classification—degree-granting
13. Private not-for-profit less-than-4-year, other Carnegie classification—NPSAS only
14. Private not-for-profit 4-year non-doctorate-granting, master's Carnegie classification
15. Private not-for-profit 4-year non-doctorate-granting, bachelor's Carnegie classification
16. Private not-for-profit 4-year non-doctoral, other Carnegie classification
17. Private not-for-profit 4-year doctorate-granting, doctoral Carnegie classification
18. Private not-for-profit 4-year doctorate-granting, master's Carnegie classification
19. Private not-for-profit 4-year doctorate-granting, other Carnegie classification
20. Private not-for-profit 4-year—NPSAS only
21. Private for-profit less-than-2-year
22. Private for-profit 2-year or more
23. California public 2-year
24. California public 4-year
25. California private not-for-profit 4-year
26. Connecticut public 2-year
27. Connecticut public 4-year
28. Connecticut private not-for-profit 4-year
29. Delaware public 2-year
30. Delaware public 4-year
31. Delaware private not-for-profit 4-year
32. Georgia public 2-year
33. Georgia public 4-year
34. Georgia private not-for-profit 4-year
35. Illinois public 2-year
36. Illinois public 4-year
37. Illinois private not-for-profit 4-year
38. Indiana public 2-year
39. Indiana public 4-year
40. Indiana private not-for-profit 4-year
41. Minnesota public 2-year
42. Minnesota public 4-year
43. Minnesota private not-for-profit 4-year
44. Nebraska public 2-year
45. Nebraska public 4-year
46. Nebraska private not-for-profit 4-year
47. New York public 2-year
48. New York public 4-year
49. New York private not-for-profit 4-year
50. Oregon public 2-year
51. Oregon public 4-year
52. Oregon private not-for-profit 4-year
53. Tennessee public 2-year
54. Tennessee public 4-year
55. Tennessee private not-for-profit 4-year
56. Texas public 2-year
57. Texas public 4-year
58. Texas private not-for-profit 4-year

A stratified sample of about 1,600 institutions was then selected with probabilities proportional to size (pps); some of these institutions subsequently proved to be ineligible and others failed to participate.

The sample of institutions was initially selected in September 2002 to allow the field test sample institutions to be selected from the complement of the full-scale sample. In July 2003, a freshened sample of institutions was selected from a frame of institutions that were not on the original sampling frame because they were new institutions, newly eligible institutions, or mistakenly ineligible due to IPEDS classification errors. Freshening was done to ensure the representativeness of the sample because the initial sample was selected a year earlier. The measures of size for the supplemental sampling frame from which the freshened sample was selected were based on the 2002 IPEDS Fall Enrollment Survey counts.

### **B.2.2 Selecting Sample Institutions**

It was necessary to allocate the student sample to the separate applicable institutional (defined above) and student sampling strata. There were eight student sampling strata as follows:

1. in-state first-time beginner students;
2. out-of-state first-time beginner students;
3. in-state other undergraduate students;
4. out-of-state other undergraduate students;
5. master's students;
6. doctoral students;
7. other graduate students; and
8. first-professional students.

First-time beginner students (FTBs) were stratified separately from other undergraduate students because they were oversampled to allow for sufficient numbers to be surveyed in the 2006 follow-up study, the Beginning Postsecondary Students Longitudinal Study (BPS:04/06). FTBs and other undergraduate students were each divided into in-state and out-of-state strata because undergraduate in-state students were oversampled in the 12 states with state-representative samples. These in-state and out-of-state strata were used for all institutions to allow for sampling ease and consistency; however, in states that did not have state-representative samples, in-state students were sampled at the same rate as out-of-state students.

The NSOPF:04 institution sample was a subset of the NPSAS:04 sample. Therefore, when the institutions were selected, students as well as faculty were considered. The discussion below focuses on the students; however, there were six faculty strata that factored into some of the computations. When both student and faculty strata were used, the term person strata is used.

In determining the allocation, the following notation is used:

- (1)  $r = 1, 2, \dots, 58$  indexes the previously defined institutional strata;
- (2)  $s = 1, 2, 3, \dots, 14$  indexes the previously defined initial person strata;
- (3)  $j = 1, 2, \dots, J(r)$  indexes the institutions within stratum “ $r$ ”;
- (4)  $M_{rs}(j)$  = number of students enrolled or faculty employed during the NPSAS year who belong to person stratum “ $s$ ” at the  $j$ -th institution in institutional stratum “ $r$ ”;

- (5)  $m_{rs}$  = number of persons to be selected from person stratum “s” within the r-th institutional stratum (referred to henceforth as person stratum “rs”); and
- (6)  $\pi_r(j)$  = probability of selecting the j-th institution in institutional stratum “r.”

The overall population sampling rate ( $f_{rs}$ ) for person stratum “rs” is given by

$$f_{rs} = m_{rs} / M_{rs}(+)$$

where

$$M_{rs}(+) = \sum_{j=1}^{J(r)} M_{rs}(j).$$

The student sample was allocated to the separate applicable institutional and student sampling strata, defined above. Student sampling rates, which were used to compute institution-level composite measures of size, were based on the 2000 IPEDS Fall Enrollment Survey counts and the required sample sizes (see tables B-1 and B-2). The initially computed stratum-level student sampling rates,  $f_{rs}$  (used to define institution measures of size) are shown in tables B-3 and B-4. Table B-3 presents the sampling rates for FTBs and other undergraduate students for each of the 22 national strata and the 36 state strata. The institutions included in the national sample were selected from all 58 strata, while the institutions included in the state samples were only selected from the 36 state strata. Table B-4 presents sampling rates for masters, doctoral, other graduate, and first-professional students. The IPEDS files do not provide separate counts for masters, doctoral, and other graduate students; hence, the partitioning of total graduate enrollment into these three categories was based on NPSAS:2000 data.

**Appendix B. Sampling Details**
**Table B-3. Student sampling rates used in determining measures of size by institutional stratum and type of student (undergraduate students): 2004**

Institutional stratum <sup>1</sup>	Undergraduate students					
	FTBs			Other undergraduates		
	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size
Total	1,898,677	0.010	18,600	6,200,814	0.003	16,490
Public less than 2-year	72,141	0.028	2,010	24,472	0.020	490
Public 2-year associate's	497,349	0.003	1,610	2,218,074	0.001	3,150
Public 2-year other—degree-granting	14,443	0.005	70	39,718	0.006	230
Public 2-year other—NPSAS only	25,552	0.018	470	13,557	0.015	200
Public 4-year non-doctorate-granting master's	114,348	0.004	450	523,223	0.002	1,230
Public 4-year non-doctorate-granting bachelor's	36,811	0.004	160	172,824	0.003	490
Public 4-year non-doctorate-granting other	17,793	0.005	80	65,711	0.001	50
Public 4-year doctorate-granting doctor's	300,138	0.004	1,190	1,394,886	0.002	2,810
Public 4-year doctorate-granting other	61,807	0.004	220	298,610	0.002	690
Public 4-year NPSAS only	13,220	0.002	30	49,839	0.001	40
Private not-for-profit less-than-4-year, associate	17,767	0.029	520	24,744	0.028	680
Private not-for-profit less-than-4-year, other—degree-granting	2,412	#	#	4,454	#	#
Private not-for-profit less-than-4-year, other—NPSAS	28,714	0.029	820	6,355	0.025	160
Private not-for-profit 4-year non-doctorate-granting, master's	44,061	0.015	640	221,327	0.004	930
Private not-for-profit 4-year non-doctorate-granting, bachelor's	93,989	0.015	1,460	304,509	0.003	870
Private not-for-profit 4-year non-doctorate-granting, other	27,060	0.016	420	100,735	0.008	810
Private not-for-profit 4-year doctorate-granting, doctor's	58,368	0.011	660	221,636	0.005	1,110
Private not-for-profit 4-year doctorate-granting, master's	34,040	0.011	360	137,685	0.002	330
Private not-for-profit 4-year doctorate-granting, other	8,344	0.017	140	28,132	0.001	40
Private not-for-profit 4-year NPSAS only	17,119	0.014	230	67,576	0.001	50
Private for-profit less-than-2-year	202,939	0.027	5,400	16,927	0.027	460
Private for-profit 2-year or more	210,262	0.008	1,660	265,820	0.006	1,680
California						
Public 2-year	131,839	0.008	1,040	1,268,189	0.004	5,020
Public 4-year	65,657	0.005	340	367,345	0.003	1,030
Private not-for-profit 4-year	22,108	0.013	290	100,256	0.005	470
Connecticut						
Public 2-year	6,506	0.135	880	34,371	0.071	2,460
Public 4-year	8,099	0.079	640	37,368	0.033	1,230
Private not-for-profit 4-year	9,122	0.046	420	30,374	0.016	480
Delaware						
Public 2-year	1,810	0.448	810	10,209	0.235	2,400
Public 4-year	4,296	0.187	810	14,669	0.083	1,220
Private not-for-profit 4-year	1,463	0.148	220	5,333	0.053	280
Georgia						
Public 2-year	29,516	0.046	1,350	75,904	0.025	1,930
Public 4-year	24,047	0.035	850	112,323	0.014	1,590
Private not-for-profit 4-year	10,128	0.032	320	34,083	0.009	320
Illinois						
Public 2-year	55,763	0.024	1,360	284,609	0.013	3,620
Public 4-year	23,768	0.011	260	121,846	0.006	670
Private not-for-profit 4-year	22,208	0.018	400	94,850	0.006	540
Indiana						
Public 2-year	10,451	0.084	880	42,150	0.044	1,840
Public 4-year	32,007	0.041	1,310	126,254	0.019	2,340
Private not-for-profit 4-year	13,073	0.037	490	43,692	0.014	600

See notes at end of table.

**Table B-3. Student sampling rates used in determining measures of size by institutional stratum and type of student (undergraduate students): 2004—Continued**

Institutional stratum <sup>1</sup>	Undergraduate students					
	FTBs			Other undergraduates		
	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size
<b>Minnesota</b>						
Public 2-year	31,381	0.048	1,490	70,764	0.026	1,830
Public 4-year	17,494	0.032	560	79,641	0.014	1,100
Private not-for-profit 4-year	9,566	0.030	290	34,263	0.008	280
<b>Nebraska</b>						
Public 2-year	6,423	0.159	1,020	29,258	0.088	2,580
Public 4-year	7,745	0.086	670	33,846	0.040	1,370
Private not-for-profit 4-year	3,384	0.079	270	13,814	0.027	370
<b>New York</b>						
Public 2-year	47,991	0.020	940	187,756	0.011	2,030
Public 4-year	44,911	0.015	670	224,965	0.006	1,350
Private not-for-profit 4-year	58,988	0.016	920	223,251	0.005	1,170
<b>Oregon</b>						
Public 2-year	13,052	0.089	1,160	70,536	0.047	3,350
Public 4-year	8,860	0.041	360	47,902	0.017	830
Private not-for-profit 4-year	3,854	0.055	210	13,731	0.016	230
<b>Tennessee</b>						
Public 2-year	13,023	0.085	1,100	62,971	0.049	3,060
Public 4-year	15,976	0.040	650	78,992	0.019	1,480
Private not-for-profit 4-year	10,024	0.044	450	33,193	0.013	450
<b>Texas</b>						
Public 2-year	101,563	0.016	1,650	358,510	0.008	3,030
Public 4-year	53,496	0.008	430	287,690	0.004	1,130
Private not-for-profit 4-year	16,944	0.014	240	69,535	0.005	350

# Rounds to zero.

<sup>1</sup> Stratum reflects institutional categorization as determined from the 2000–01 and 2002–03 Integrated Postsecondary Education Data System (IPEDS) files; some errors in this classification were uncovered when institutions were contacted.

<sup>2</sup> The size of the universe is based on counts from the 2000 and 2002 IPEDS Fall Enrollment Surveys.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).

**Table B-4. Student sampling rates used in determining measures of size by institutional stratum and type of student (graduate students and first-professional students): 2004**

Institutional stratum <sup>1</sup>	Graduate students											
	Master's students			Doctor's students			Other graduate students			First-professional students		
	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size
Total	1,633,015	0.003	5,008	162,228	0.024	3,943	73,816	0.006	414	310,249	0.005	1,502
Public less than 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 2-year associate's	†	†	†	†	†	†	327	#	#	†	†	†
Public 2-year other—degree-granting	†	†	†	†	†	†	†	†	†	†	†	†
Public 2-year other—NPSAS only	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year non-doctorate-granting master's	101,289	0.001	120	13	#	#	3,248	0.002	10	†	†	†
Public 4-year non-doctorate-granting bachelor's	3,899	0.003	10	†	†	†	624	0.003	#	†	†	†
Public 4-year non-doctorate-granting other	6,524	#	#	†	†	†	1,699	#	#	†	†	†
Public 4-year doctorate-granting doctor's	401,988	0.003	1,130	60,343	0.021	1,250	9,575	0.007	60	74,447	0.007	520
Public 4-year doctorate-granting other	64,391	0.002	130	1,035	0.025	30	2,137	0.002	10	5,808	0.005	30
Public 4-year NPSAS only	4,136	#	#	747	0.009	10	143	#	#	1,206	#	#
Private not-for-profit less-than-4-year, associate's	†	†	†	†	†	†	†	†	†	†	†	†
Private not-for-profit less-than-4-year, other—degree-granting	†	†	†	†	†	†	†	†	†	†	†	†
Private not-for-profit less-than-4-year, other—NPSAS	†	†	†	†	†	†	†	†	†	†	†	†
Private not-for-profit 4-year non-doctorate-granting, master's	69,872	0.001	70	7	#	#	2,154	0.001	#	†	†	†
Private not-for-profit 4-year non-doctorate-granting, bachelor's	11,473	0.001	10	†	†	†	1,143	0.003	#	†	†	†
Private not-for-profit 4-year non-doctorate-granting, other	19,485	#	10	†	†	†	2,450	0.001	#	†	†	†
Private not-for-profit 4-year doctorate-granting	132,740	0.004	560	18,977	0.034	640	5,830	0.015	90	46,339	0.003	160
Private not-for-profit 4-year doctorate-granting, master's	76,154	0.004	280	1,276	0.034	40	1,684	0.003	10	15,701	#	#
Private not-for-profit 4-year doctorate-granting, other	14,716	0.004	70	3,980	0.033	130	1,033	#	#	28,721	0.007	210
Private not-for-profit 4-year NPSAS only	8,229	#	#	574	0.023	10	1,993	#	#	2,217	0.002	10
Private for-profit less-than-2-year	†	†	†	†	†	†	†	†	†	†	†	†
Private for-profit 2-year or more	46,151	0.001	30	3,433	#	#	1,851	#	#	1,068	#	#
California												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	99,569	0.002	230	10,134	0.020	210	2,486	0.009	20	7,605	0.004	30
Private not-for-profit 4-year	69,851	0.003	210	10,744	0.033	360	10,347	0.002	20	23,992	0.005	120
Connecticut												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	10,541	0.003	30	1,741	0.021	40	1,448	0.003	10	1,115	0.004	#
Private not-for-profit 4-year	14,083	0.005	70	1,017	0.032	30	1,294	0.011	10	2,302	0.002	#

See notes at end of table.

**Table B-4. Student sampling rates used in determining measures of size by institutional stratum and type of student (graduate students and first-professional students): 2004—Continued**

Institutional stratum <sup>1</sup>	Graduate students											
	Master's students			Doctor's students			Other graduate students			First-professional students		
	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size
Delaware												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	2,670	0.004	10	540	0.020	10	†	†	†	†	†	†
Private not-for-profit 4-year	1,609	0.005	10	59	0.017	#	26	#	#	1,063	0.005	10
Georgia												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	23,951	0.004	110	2,500	0.020	50	1,761	0.007	10	2,902	0.004	10
Private not-for-profit 4-year	8,527	0.006	50	1,127	0.032	40	208	0.010	#	6,495	0.004	30
Illinois												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	39,623	0.002	80	3,867	0.021	80	320	0.003	#	4,359	0.007	30
Private not-for-profit 4-year	48,999	0.006	310	4,879	0.033	160	836	0.011	10	12,189	0.004	40
Indiana												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	23,097	0.005	120	3,493	0.020	70	728	0.010	10	4,137	0.004	20
Private not-for-profit 4-year	7,135	0.005	40	506	0.032	20	35	#	#	1,895	0.003	10
Minnesota												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	13,757	0.004	60	2,347	0.020	50	526	0.004	#	2,733	0.004	10
Private not-for-profit 4-year	12,390	0.006	80	519	0.033	20	1,102	0.013	10	3,378	0.004	20
Nebraska												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	8,720	0.004	40	1,007	0.021	20	236	0.008	#	1,296	0.004	10
Private not-for-profit 4-year	1,893	0.002	#	143	0.028	#	75	#	#	1,987	#	#
New York												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	50,905	0.003	150	5,424	0.021	110	5,002	0.008	40	4,793	0.004	20
Private not-for-profit 4-year	101,355	0.006	610	7,609	0.032	240	5,113	0.011	60	23,008	0.003	70
Oregon												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	9,030	0.003	20	1,126	0.020	20	3,761	0.006	20	1,402	0.006	10
Private not-for-profit 4-year	2,915	0.005	20	207	0.034	10	595	#	#	2,720	0.004	10
Tennessee												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	16,573	0.002	40	1,485	0.021	30	708	0.004	#	2,754	0.007	20
Private not-for-profit 4-year	7,523	0.005	40	883	0.033	30	724	0.003	#	2,884	0.004	10

See notes at end of table.

**Table B-4. Student sampling rates used in determining measures of size by institutional stratum and type of student (graduate students and first-professional students): 2004—Continued**

Institutional stratum <sup>1</sup>	Graduate students											
	Master's students			Doctor's students			Other graduate students			First-professional students		
	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size	Size of universe <sup>2</sup>	Sampling rate	Sample size
Texas												
Public 2-year	†	†	†	†	†	†	†	†	†	†	†	†
Public 4-year	75,495	0.002	170	8,797	0.021	180	139	#	#	11,001	0.007	80
Private not-for-profit 4-year	21,757	0.006	140	1,689	0.033	60	455	0.011	10	8,732	0.004	30

† Not applicable.

# Rounds to zero.

<sup>1</sup> Stratum reflects institutional categorization as determined from the 2000–01 and 2002–03 Integrated Postsecondary Education Data System (IPEDS) file; some errors in this classification were uncovered when institutions were contacted.

<sup>2</sup> The size of the universe is based on counts from the 2000 and 2002 IPEDS Fall Enrollment Surveys and the distribution of graduate student type is based on NPSAS:2002.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).



The composite measure of size for the  $j$ -th institution in stratum “ $r$ ” was then defined to be

$$S_r(j) = \sum_{s=1}^7 f_{rs} M_{rs}(j),$$

which is the number of persons that would be selected from the  $j$ -th institution if all institutions on the frame were to be sampled.

Institutions were selected using Chromy’s sequential probability minimum replacement (pmr) sampling algorithm (Chromy 1979), which is similar to systematic sampling, to select institutions with probabilities proportional to a composite measure of size based on expected enrollment. A sample of 1,630 institutions was selected in Fall 2002 so that these institutions could be notified early of their selection and to allow a separate sample to be selected for the field test from the remaining institutions on the sampling frame. In Summer 2003, an additional sample of about 30 institutions was selected from a frame of institutions not included on the initial sampling frame. Of the sample institutions selected for the full-scale study, about 810 were selected with certainty. The certainty institutions were either in strata in which all institutions were selected or had expected frequencies of selection greater than unity (1.00). About 1,630 of the sampled institutions were found to be NPSAS eligible, and about 1,360 of these eligible institutions provided student enrollment lists for use as the second stage (i.e., student) sampling frame.

An independent sample of institutions was selected for each institutional stratum using Chromy’s sequential probability minimum replacement (pmr) sampling algorithm (Chromy 1979) to select institutions with probabilities proportional to their computed measures of size. However, rather than multiple selections of sample institutions being allowed,<sup>6</sup> those with expected frequencies of selection greater than unity (1.00) were selected with certainty. Also, institutions were selected with certainty if they were in strata where all institutions were selected. The remainder of the institutional sample was selected from the remaining institutions within each stratum. The sampling algorithm was implemented with a random start for each institutional stratum to ensure the positive pairwise probabilities of selection that were needed for proper variance estimation (Chromy 1981).

Therefore, the probability of selection for the  $j$ -th institution in institutional stratum “ $r$ ” is given by

$$\pi_r(i) = \begin{cases} \frac{n_r S_r(i)}{S_r(+)} & \text{for noncertainty selections} \\ 1 & \text{for certainty selections.} \end{cases}$$

where

$$S_r(+) = \sum_{j=1}^{J(r)} S_r(j),$$

and  $n_r^*$  is the number of noncertainty selections from stratum “ $r$ .”

<sup>6</sup> Precluding institutions with multiple selections at the first stage of sampling made it unnecessary to select multiple second-stage samples of students.

## Appendix B. Sampling Details

Table B-5 shows the institution sampling rates and the numbers of certainty and noncertainty institutions selected for each of the 22 national strata and the 36 state strata, respectively. Within each institutional stratum, additional implicit stratification was accomplished by sorting the stratum sampling frame by the following classifications: (1) historically black colleges and universities (HBCU) indicator; (2) Carnegie classifications of postsecondary institutions; (3) the Office of Business Economics (OBE) Region from the IPEDS header file (Bureau of Economic Analysis of the U.S. Department of Commerce Region);<sup>7</sup> and (4) the institution measure of size. The objective of this implicit stratification was to approximate proportional representation of institutions on these measures.

**Table B-5. Institutional sampling rates and number of certainty and noncertainty institutions sampled, by institutional stratum: 2004**

Institutional stratum <sup>1</sup>	Size of universe <sup>2</sup>	Sampling rate	Number of sample institutions		
			Total	Certainty	Noncertainty
Total	6,706	0.25	1,670	810	860
Public less than 2-year	317	0.21	70	20	50
Public 2-year associate	623	0.12	70	#	70
Public 2-year other—degree-granting	36	0.14	10	#	#
Public 2-year other—NPSAS only <sup>3</sup>	69	0.45	30	10	20
Public 4-year non-doctorate-granting, master's	118	0.17	20	#	20
Public 4-year non-doctorate-granting, bachelor's	65	0.17	10	#	10
Public 4-year non-doctorate-granting, other	47	0.06	#	#	#
Public 4-year doctorate-granting, doctor's	126	1.00	130	130	#
Public 4-year doctorate-granting, other	49	0.20	10	#	10
Public 4-year NPSAS only <sup>3</sup>	16	0.13	#	#	#
Private not-for-profit less-than-4-year, associate	108	0.31	30	#	30
Private not-for-profit less-than-4-year, other—degree-granting	24	0.08	#	#	#
Private not-for-profit less-than-4-year, other—NPSAS only <sup>3</sup>	240	0.16	40	10	30
Private not-for-profit 4-year non-doctorate-granting, master's	132	0.09	10	#	10
Private not-for-profit 4-year non-doctorate-granting, bachelor's	293	0.12	30	#	30
Private not-for-profit 4-year non-doctorate-granting, other	202	0.16	30	#	30
Private not-for-profit 4-year doctorate-granting, doctor's	52	1.00	50	50	#
Private not-for-profit 4-year doctorate-granting, master's	61	0.18	10	#	10
Private not-for-profit 4-year doctorate-granting, other	143	0.09	10	#	10
Private not-for-profit 4-year—NPSAS only <sup>3</sup>	51	0.06	#	#	#
Private for-profit less-than-2-year	1,445	0.12	170	10	170
Private for-profit 2-year or more	1,149	0.10	110	10	110
California	298	0.38	110	50	60
Public 2-year	114	0.33	40	#	40
Public 4-year	33	1.00	30	30	#
Private not-for-profit 4-year	151	0.27	40	20	20
Connecticut	45	1.00	50	50	#
Public 2-year	15	1.00	20	20	#
Public 4-year	10	1.00	10	10	#
Private not-for-profit 4-year	20	1.00	20	20	#
Delaware	9	1.00	10	10	#
Public 2-year	3	1.00	#	#	#
Public 4-year	2	1.00	#	#	#
Private not-for-profit 4-year	4	1.00	#	#	#

See notes at end of table.

<sup>7</sup> For sorting purposes, Alaska and Hawaii were combined with Puerto Rico in the Outlying Areas region rather than in the Far West region.

**Table B-5. Institutional sampling rates and number of certainty and noncertainty institutions sampled, by institutional stratum: 2004—Continued**

Institutional stratum <sup>1</sup>	Size of universe <sup>2</sup>	Sampling rate	Number of sample institutions		
			Total	Certainty	Noncertainty
Georgia	108	0.79	90	60	30
Public 2-year	53	0.57	30	10	30
Public 4-year	21	1.00	20	20	#
Private not-for-profit 4-year	34	1.00	30	30	#
Illinois	148	0.49	70	40	40
Public 2-year	48	0.63	30	10	20
Public 4-year	12	1.00	10	10	#
Private not-for-profit 4-year	88	0.34	30	10	20
Indiana	71	0.85	60	50	10
Public 2-year	16	1.00	20	20	#
Public 4-year	14	1.00	10	10	#
Private not-for-profit 4-year	41	0.73	30	20	10
Minnesota	90	0.86	80	70	10
Public 2-year	43	0.70	30	20	10
Public 4-year	11	1.00	10	10	#
Private not-for-profit 4-year	36	1.00	40	40	#
Nebraska	29	1.00	30	30	#
Public 2-year	7	1.00	10	10	#
Public 4-year	7	1.00	10	10	#
Private not-for-profit 4-year	15	1.00	20	20	#
New York	249	0.43	110	70	30
Public 2-year	37	1.00	40	40	#
Public 4-year	45	0.67	30	20	10
Private not-for-profit 4-year	167	0.24	40	20	20
Oregon	52	1.00	50	50	#
Public 2-year	17	1.00	20	20	#
Public 4-year	10	1.00	10	10	#
Private not-for-profit 4-year	25	1.00	30	30	#
Tennessee	75	0.81	60	50	10
Public 2-year	21	1.00	20	20	#
Public 4-year	10	1.00	10	10	#
Private not-for-profit 4-year	44	0.68	30	20	10
Texas	166	0.54	90	50	40
Public 2-year	68	0.44	30	10	20
Public 4-year	43	0.70	30	20	10
Private not-for-profit 4-year	55	0.55	30	20	10

# Rounds to zero.

<sup>1</sup> Stratum reflects institutional categorization as determined from the 2000–01 Integrated Postsecondary Education Data System (IPEDS) file; some errors in this classification were uncovered when institutions were contacted.<sup>2</sup> Based on the 2000–01 and 2002–03 IPEDS file.

NOTE: Detail may not sum to total because of rounding.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).

### B.3 The Student Samples

The initial student sample was selected from lists provided by about 1,360 of the 1,630 institutions (from the original sample) that proved to be eligible. The postsecondary students eligible for NPSAS:04 were those who attended a NPSAS-eligible institution during the 2003–04 academic year and who were

- enrolled in *either* (1) an academic program; (2) at least one course for credit that could be applied toward fulfilling the requirements for an academic degree; *or* (3) an occupational or vocational program that required at least 3 months or 300 clock hours of instruction to receive a degree, certificate, or other formal award;
- not concurrently enrolled in high school; and
- not enrolled *solely* in a GED or other high school completion program.

### B.3.1 Construction of Sampling Frames

The sampling frames provided by sample institutions included paper and electronic lists of students enrolled in terms or courses of instruction during the previously defined NPSAS year.

Each sampled institution that was verified as NPSAS-eligible was asked to provide a list of all its students who satisfied all the NPSAS eligibility conditions, preferably an “unduplicated” electronic list (i.e., one in which each student’s name appeared only once), together with identifying, classifying, and locating information (see section 2.3.2 in the main report). Although electronic files were preferred, student lists were accepted in a variety of formats, as long as they were complete.

Several checks on quality and completeness of student lists were implemented before the sample students were selected. Institutions providing lists that failed these checks were contacted to resolve the detected problems. Enrollment lists failed quality control checks under the following conditions:

- FTBs were not identified (unless the institution only enrolled graduate/first-professional students or explicitly indicated that no FTBs existed in the school); and/or
- student level—undergraduate, master’s, doctoral, other graduate, or first professional—was not clearly identified.

Quality checks on student counts were performed separately for FTBs and all other students. The “unduplicated” FTB counts were checked against the fall enrollment counts from the IPEDS Fall Enrollment Survey because IPEDS does not have “unduplicated” annual FTB counts. The check failed if the count for any “unduplicated” list was at least 50 percent less than the IPEDS count. The list counts were expected to almost always be more than the IPEDS counts because the IPEDS counts were not annual counts. This check identified institutional enrollment lists that under-reported FTBs. The “unduplicated” counts of other undergraduates, graduates, and first-professionals were checked against the “unduplicated” annual enrollment counts from the IPEDS Fall Enrollment Survey. The check failed if the count for any “unduplicated” list differed by at least 50 percent from the IPEDS count.<sup>8</sup>

### B.3.2 Student Sample Selection

As student lists were received from institutions, students were sampled using predetermined sampling rates that varied by student stratum. Stratified systematic sampling was used to ensure comparable sampling procedures for both paper and electronic lists.

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<sup>8</sup> If provided paper lists were not “unduplicated,” an “unduplicated” total was estimated by applying an empirically determined multiplicity factor (0.50) to the count over provided lists.

For each institution, the student sampling rates, rather than the student sample sizes, were set to fixed values:

- to facilitate sampling students on a flow basis as student lists were received;
- to facilitate the procedures used to “unduplicate” the samples selected from (duplicated) hard-copy lists; and
- because sampling at a fixed rate based on the overall stratum sampling rates and the institutional probabilities of selection results in approximately equal overall probabilities of selection within the ultimate institution-by-student strata.

Some institutional systems sent in lists for multiple institutions or campuses. If the lists were separate for each institution or campus, then the samples were selected separately and independently. If the lists were combined into one list with no identifier mapping students to institution or campus, then one student sample was selected that represented all of the institutions or campuses included on the list. In such cases, sampling rates were adjusted, and a weight adjustment was made (see section 6.1.1 in the main report).

For paper lists, samples were selected manually, and then the list of sample students was entered into an electronic file. When students from different strata (e.g., FTBs and other undergraduates) were combined on a paper list, the sampling rate from the stratum with the higher rate was used. Then after the sample was entered into an electronic file, the students from the other stratum (or strata) were subsampled to match the sampling rates for that stratum.<sup>9</sup>

After the sample of students had been selected for an institution, Social Security numbers (SSNs) of those sampled were compared to those of students who had already been selected from other institutions to eliminate cross-institution duplication. Multiplicity adjustments in the sample weighting (described in more detail in section 6.2.1 in the main report) accounted for the fact that any students who attended more than one institution during the NPSAS year had more than one chance of selection.

The development of student sampling rates within student stratum “rs” (i.e., the r-th institutional stratum and the s-th student stratum within institutional stratum) were previously discussed in section B.2.2, and the notation used in that development will be used here, except that person strata one through eight are used for student sampling and are referred to as student strata below.

For the unconditional probability of selection to be a constant for all eligible students in stratum “rs,” the overall probability of selection should be the overall student sampling fraction,  $f_{rs}$ ; i.e., it must be required that

$$\frac{m_{rs}(j)}{M_{rs}(j)} \pi_r(j) = f_{rs},$$

or equivalently,

$$m_{rs}(j) = f_{rs} \frac{M_{rs}(j)}{\pi_r(j)}.$$

<sup>9</sup> The issue of combined strata was not a problem for electronic lists since the file could be sorted by stratum prior to sampling.

Thus, the conditional sampling rate for stratum “rs,” given selection of the j-th institution, becomes

$$f_{rs|j} = f_{rs} / \pi_r(j).$$

It should be noted that, in this case, the desired overall student sample size,  $m_s$ , is achieved only *in expectation* over all possible samples.

Achieving the desired sample sizes with equal probabilities within strata in the particular sample that has been selected and simultaneously adjusting for institutional nonresponse and ineligibility requires that

$$\sum_{j \in R} m_{rs}(j) = m_{rs},$$

where “R” denotes the set of eligible, *responding* institutions. Letting the conditional student sampling rate for stratum “rs” in the j-th institution be

$$\hat{f}_{rs|j} = \hat{f}_{rs} / \pi_r(j),$$

then requires

$$\sum_{j \in R} \hat{f}_{rs} \frac{M_{rs}(j)}{\pi_r(j)} = m_{rs},$$

or equivalently,

$$\hat{f}_{rs} = m_{rs} / \hat{M}_{rs}$$

where

$$\hat{M}_{rs} = \frac{\sum_{j \in R} M_{rs}(j)}{\pi_r(j)}.$$

Since it was necessary to set student sampling rates before complete information on institutional eligibility and response status was available,  $\hat{M}_{rs}$  was calculated as follows:

$$\hat{M}_{rs} = \sum_{j \in S} \frac{M_{rs}(j)}{\pi_r(j)} * E_r * R_r * E_{rs},$$

where “S” denotes the set of all sample institutions,

- $E_r$  = the institutional eligibility factor for institutional stratum “r”;
- $R_r$  = the institutional response factor for institutional stratum “r”; and
- $E_{rs}$  = the student eligibility factor for student stratum “rs”.

These factors were the proportions of institutions or students, respectively, expected to be

eligible or responding within the defined strata. Since this determination was made after eligibility status had already been determined for some institutions, values of 0 (known not eligible) or 1 (known eligible) were used, if known at that time.

These sampling rates were sometimes modified as follows:

- Student sampling rates were increased, as needed, so that the sample size achieved at each sample institution would be at least 10 sample students, where possible, to ensure sufficient yield for variance estimation.
- Student sampling rates were decreased if the sample size was more than 50 greater than the institution had been told to expect, which was based on the sampling rate applied to the enrollment count on the sampling frame.<sup>10</sup>
- Sample yield was monitored throughout enrollment list collection and student sampling rates were adjusted periodically for institutions for which sample selection had not yet been performed to ensure that the desired student sample sizes were achieved.

These adjustments to the initial sampling rates resulted in some additional variability in the student sampling rates and, hence, in some increase in survey design effects (variance inflation—see section 6.4.3 in the main report).

The sampling procedures resulted in the selection of 109,210 students. The planned and achieved sample sizes by student stratum and level of offering are shown in table B-6. The initial classification of the student sample overall and by institution type and student stratum are shown in table B-7. The achieved sample yield was less than what was planned (109,210 students as compared to the target of 121,680). Institutional participation rates were somewhat lower than expected, and sampling rates were not adjusted high enough and early enough for the participating institutions to compensate for the loss of sample yield from the nonparticipating institutions. Overall, there were more doctoral and other graduate students in the sample than planned, and there were fewer FTBs, other undergraduate students, and master's students than planned.

The sample size for NPSAS:04 is larger than past NPSAS studies. The first reason for the increased sample size was to ensure sufficient yield for analytic purposes. The sample size was designed so that respondent yield would be sufficient for analyses even if actual response rates were lower than the targeted rates. Second, NCES desired one weight to make the data easier for analysts to use. Also, as mentioned above, NPSAS:04 includes state-representative undergraduate student samples for three types of institutions (public 2-year, public 4-year, and private not-for-profit 4-year) in 12 states. A larger overall sample size was necessary to achieve state-representative samples in addition to the nationally-representative sample.

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<sup>10</sup> This was to ensure minimal burden for the institutions participating in computer-assisted data entry (CADE) data abstraction.

**Table B-6. Planned and achieved NPSAS:04 student samples, by student stratum and level of offering**

Student stratum <sup>1</sup>	Institutional level <sup>2</sup>	Students sampled		
		Number expected <sup>3</sup>	Number achieved <sup>4</sup>	Percent <sup>5</sup>
Total	All institutions	121,680	109,210	89.8
FTB	Subtotal	56,070	49,410	88.1
	Less-than-2-year	14,080	11,370	80.8
	2- to 3-year	24,530	22,250	90.7
	4-year	42,700	15,790	37.0
Other undergraduate	Subtotal	54,490	47,680	87.5
	Less-than-2-year	800	920	115.1
	2- to 3-year	25,990	19,660	75.6
	4-year	27,690	27,100	97.9
Master's	4-year	5,310	3,720	70.1
Doctor's	4-year	3,630	4,950	136.1
Other graduate	4-year	400	1,660	416.3
First-professional	4-year	1,780	1,790	100.7

<sup>1</sup> As expected the sampling frames misclassified some individual students with respect to first-time beginner (FTB), undergraduate, graduate, and first-professional status; statistics presented in this table are based on the sampling frame classification. The two FTB strata (in-state and out-of-state) have been combined, and the two other undergraduate strata (in-state and out-of-state) have been combined.

<sup>2</sup> Institutional level is based on level confirmed by institution during school contacting.

<sup>3</sup> Based on sample allocation and 2000–01 and 2002–03 Integrated Postsecondary Education Data System (IPEDS) file enrollment counts.

<sup>4</sup> The student sample was drawn from 1,360 eligible institutions that provided enrollment lists.

<sup>5</sup> Percent reported reflects the ratio of “achieved” to “expected.”

NOTE: Detail may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).



**Table B-7. Initial classification of NPSAS:04 student sample, by institutional characteristics and student stratum**

Institutional characteristics	Total sample <sup>1</sup>		Student sampling stratum <sup>2</sup>							
	Number	Percent	FTB sample <sup>3</sup>		Other undergraduate sample		Graduate sample <sup>3</sup>		First-professional sample	
			Number	Percent	Number	Percent	Number	Percent	Number	Percent
All institutions	109,210	100.0	49,410	100.0	47,680	100.0	10,330	100.0	1,790	100.0
Institutional level										
Less-than-2-year	12,310	11.3	11,370	23.0	920	1.9	20	0.1	#	0.2
2-year	41,960	38.5	22,250	45.0	19,660	41.2	40	0.4	10	0.5
4-year non-doctorate-granting	21,550	19.8	8,220	16.6	12,130	25.4	1,180	11.5	20	0.9
4-year doctorate-granting	33,400	30.6	7,570	15.3	14,970	31.4	9,100	88.3	1,770	98.1
Institutional control										
Public	71,030	65.2	27,820	56.3	35,720	74.9	6,570	63.8	920	51.2
Private not-for-profit	22,730	20.9	8,770	17.8	9,450	19.8	3,640	35.3	870	48.3
Private for-profit	15,460	14.2	12,820	26.0	2,510	5.3	120	1.2	#	0.2
Type of institution										
Public less-than-2-year	2,780	2.5	2,330	4.7	440	0.9	#	#	#	#
Public 2-year	36,340	33.3	17,780	36.0	18,520	38.8	30	0.3	10	0.5
Public 4-year non-doctorate-granting	9,210	8.5	2,680	5.4	5,970	12.5	550	5.4	10	0.4
Public 4-year doctorate-granting	22,700	20.8	5,030	10.2	10,790	22.6	5,980	58.1	900	50.2
Private not-for-profit 2-year or less	3,020	2.8	2,350	4.8	670	1.4	10	#	#	#
Private not-for-profit 4-year non-doctorate-granting	9,310	8.5	3,920	7.9	4,840	10.1	540	5.3	10	0.4
Private not-for-profit 4-year doctorate-granting	10,400	9.5	2,510	5.1	3,940	8.3	3,090	30.0	860	47.8
Private for-profit less-than-2-year	8,750	8.0	8,280	16.8	460	1.0	10	0.1	#	0.2
Private for-profit 2-year or more	6,710	6.2	4,540	9.2	2,050	4.3	110	1.1	#	0.1

# Rounds to zero.

<sup>1</sup> The student sample was drawn from 1,360 eligible institutions that provided enrollment lists.

<sup>2</sup> As expected, the sampling frames misclassified some individual students as to first-time beginner (FTB), undergraduate, graduate, and first-professional status; statistics presented in this table are based on the sampling frame classification. This explains why some graduate/first-professional students were sampled from institutions that do not have such students.

<sup>3</sup> The two FTB strata (in-state and out-of-state) have been combined, the two other undergraduate strata (in-state and out-of-state) have been combined, and the master's, doctorate, and other graduate strata have been combined.

NOTE: Detail may not sum to totals because of rounding.

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).

## B.4 Determining NSoFaS Sample Sizes and Sampling Rates

Institution, student, and faculty sample sizes and sampling rates were determined for the 2004 National Study of Faculty and Students (NSoFaS:04) using cost/variance optimization procedures to determine the allocation that would maximize the inferences supported by the design while minimizing data collection costs. The sample allocation was first determined as if all sample institutions eligible for both the student and faculty components of NSoFaS would participate in both components. Because smaller sample sizes were sufficient to support the National Study of Postsecondary Faculty (NSOPF) inference requirements, institutions for the NSOPF sample then were selected as a subsample of the NPSAS sample institutions. The process below focuses on NPSAS.

The cost/variance sample optimization process consisted of the following steps:

1. Precision requirements were established for key estimates.
2. Institution-level and person-level sampling strata were developed to support the key estimates.
3. A cost model was developed.
4. A relative variance model was developed.
5. The optimum sample allocation was determined.

Each of these steps of the cost/variance optimization process is discussed below.

### B.4.1 Precision Requirements for Key Estimates

The precision goal for NPSAS:04 was to achieve precision comparable to or better than NPSAS:2000 for national-level estimates for the overall student population and to achieve precision comparable to NPSAS:96 for national estimates for the population of beginning postsecondary students. The population of institutions for which these precision goals were established consisted of the institutions in the United States and Puerto Rico that were participating in Title IV federal student financial aid programs in the 2003–04 academic year.

The *NPSAS:2000 E.D. Tab* (NCES 2001–209) was used to identify 162 key national-level estimates for the overall student population. Likewise, *Descriptive Summary of 1995–96 Beginning Postsecondary Students* (NCES 1999–030) was reviewed to identify 102 key national-level estimates for the population of beginning postsecondary students. Hence, a total of 264 precision constraints were developed for national-level student estimates. These student estimates (outcomes) by domain are shown in table B-8. For each estimate, the objective was to achieve a level of precision that was at least as good as that obtained in the prior study.

Precision requirements also were established for 174 key estimates regarding the in-state student populations in each of the following 12 states: California, Connecticut, Delaware, Georgia, Illinois, Indiana, Minnesota, Nebraska, New York, Oregon, Tennessee, and Texas. The 174 key estimates for each state were a subset of the 264 national-level constraints for in-state<sup>11</sup>

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<sup>11</sup> In the first NSoFaS Technical Review Panel meeting, representatives of the 12 states indicated that they were primarily interested in inferences regarding their in-state students.

undergraduate students enrolled in 2003–04 in the following types of institutions participating in Title IV federal student financial aid programs:

1. Public, 2-year institutions.
2. Public, 4-year institutions.
3. Private, not-for-profit, 4-year institutions.

The 174 key state-level estimates are presented in table B-9. For each estimate, the goal was to achieve a relative standard error of 10 percent or less. As is usually the case with survey optimization problems, it was necessary to constrain the sample sizes not to exceed those budgeted for the study: about 81,000 responding students.

#### **B.4.2 Institution-Level and Person-Level Sampling Strata**

Twenty-four institution-level NSoFaS sampling strata were defined for the NSoFaS national-level sample by crossing:

- The nine strata traditionally used for the NPSAS (based on institution level, control, and highest level of offering) (called NPSASSTR).
- The 10 strata traditionally used for the NSOPF (based on Carnegie classification) and control (called NSOPFSTR).
- An indicator of 2-year and 4-year institutions that were eligible only for NPSAS (i.e., institutions located in PR and non-degree-granting institutions).

Because of small stratum sizes, two pairs of strata (doctorate-granting and non-doctorate-granting) were collapsed for institutions that were eligible only for NPSAS to form the following two strata:

- Public 4-year, NPSAS-only institutions.
- Private not-for-profit 4-year, NPSAS-only institutions.

The result was a 22-level institutional stratum variable (called STRAT22) defined for the national NSoFaS sample.

Eighteen of the original 24 institution strata defined for the national sample were applicable for the analysis domains defined for the 12 states that had separate precision requirements. Hence, these 18 strata were replicated for each of the 12 states, forming 216 state strata and a total of 240 institution-level strata.<sup>12,13</sup>

For the sample optimization process, it was necessary to use the 240-level institution stratum variable so that the sample sizes could be accurately mapped to the analysis domains (per tables B-8 and B-9) for which precision requirements had been established. However, since many of these strata contained few institutions, the sample was selected using 58 collapsed strata (called STRAT58) defined by using the 22 national-level institution strata discussed above (STRAT22) and by collapsing the 18 strata for each of the 12 states into the following three strata that represent the domains for which state-specific inferences were required:

<sup>12</sup> Some of the state strata did not actually contain any institutions, so some of the 240 strata had no institutions.

<sup>13</sup> The state strata included graduate institutions. Only institutions offering undergraduate programs should have been placed in the state strata because state precision requirements are only for undergraduate students.

- Public 2-year institutions.
- Public 4-year institutions.
- Private not-for-profit 4-year institutions.

The number of institutions on the initial sampling frame in each of these 58 sampling strata is provided in tables B-4 and B-5.

**Table B-8. Domains and outcomes for NPSAS:04 national sample optimization:**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
All	Undergraduate	All	All	Percent receiving any aid
Public less-than-2-year or private not-for-profit less-than-4-year	Undergraduate	All	All	Percent receiving any aid
Public 2-year	Undergraduate	All	All	Percent receiving any aid
Public 4-year non-doctorate-granting	Undergraduate	All	All	Percent receiving any aid
Public 4-year doctorate-granting	Undergraduate	All	All	Percent receiving any aid
Private not-for-profit 4-year non-doctorate-granting	Undergraduate	All	All	Percent receiving any aid
Private not-for-profit 4-year doctorate-granting	Undergraduate	All	All	Percent receiving any aid
Private for-profit less-than-2-year	Undergraduate	All	All	Percent receiving any aid
Private for-profit 2-year or more	Undergraduate	All	All	Percent receiving any aid
All	Undergraduate	All	All	Percent receiving a Stafford Loan
Public less-than-2-year or private not-for-profit less-than-4-year	Undergraduate	All	All	Percent receiving a Stafford Loan
Public 2-year	Undergraduate	All	All	Percent receiving a Stafford Loan
Public 4-year non-doctorate-granting	Undergraduate	All	All	Percent receiving a Stafford Loan
Public 4-year doctorate-granting	Undergraduate	All	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year non-doctorate-granting	Undergraduate	All	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year doctorate-granting	Undergraduate	All	All	Percent receiving a Stafford Loan
Private for-profit less-than-2-year	Undergraduate	All	All	Percent receiving a Stafford Loan
Private for-profit 2-year or more	Undergraduate	All	All	Percent receiving a Stafford Loan
All	Undergraduate	All	All	Percent receiving a Pell Grant
Public less-than-2-year or private not-for-profit less-than-4-year	Undergraduate	All	All	Percent receiving a Pell Grant
Public 2-year	Undergraduate	All	All	Percent receiving a Pell Grant
Public 4-year non-doctorate-granting	Undergraduate	All	All	Percent receiving a Pell Grant
Public 4-year doctorate-granting	Undergraduate	All	All	Percent receiving a Pell Grant
Private not-for-profit 4-year non-doctorate-granting	Undergraduate	All	All	Percent receiving a Pell Grant
Private not-for-profit 4-year doctorate-granting	Undergraduate	All	All	Percent receiving a Pell Grant
Private for-profit less-than-2-year	Undergraduate	All	All	Percent receiving a Pell Grant
Private for-profit 2-year or more	Undergraduate	All	All	Percent receiving a Pell Grant
All	Undergraduate	All	All	Average amount of aid received
Public less-than-2-year or private not-for-profit less-than-4-year	Undergraduate	All	All	Average amount of aid received
Public 2-year	Undergraduate	All	All	Average amount of aid received
Public 4-year non-doctorate-granting	Undergraduate	All	All	Average amount of aid received
Public 4-year doctorate-granting	Undergraduate	All	All	Average amount of aid received

See notes at end of table.

Table B-8. Domains and outcomes for NPSAS:04 national sample optimization: 2004—Continued

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Private not-for-profit 4-year non-doctorate-granting	Undergraduate	All	All	Average amount of aid received
Private not-for-profit 4-year doctorate-granting	Undergraduate	All	All	Average amount of aid received
Private for-profit less-than-2-year	Undergraduate	All	All	Average amount of aid received
Private for-profit 2-year or more	Undergraduate	All	All	Average amount of aid received
All	Undergraduate	All	All	Average amount of Stafford Loan received
Public less-than-2-year or private not-for-profit less-than-4-year	Undergraduate	All	All	Average amount of Stafford Loan received
Public 2-year	Undergraduate	All	All	Average amount of Stafford Loan received
Public 4-year non-doctorate-granting	Undergraduate	All	All	Average amount of Stafford Loan received
Public 4-year doctorate-granting	Undergraduate	All	All	Average amount of Stafford Loan received
Private not-for-profit 4-year non-doctorate-granting	Undergraduate	All	All	Average amount of Stafford Loan received
Private not-for-profit 4-year doctorate-granting	Undergraduate	All	All	Average amount of Stafford Loan received
Private for-profit less-than-2-year	Undergraduate	All	All	Average amount of Stafford Loan received
Private for-profit 2-year or more	Undergraduate	All	All	Average amount of Stafford Loan received
All	Undergraduate	All	All	Average amount of Pell Grant received
Public less-than-2-year or private not-for-profit less-than-4-year	Undergraduate	All	All	Average amount of Pell Grant received
Public 2-year	Undergraduate	All	All	Average amount of Pell Grant received
Public 4-year non-doctorate-granting	Undergraduate	All	All	Average amount of Pell Grant received
Public 4-year doctorate-granting	Undergraduate	All	All	Average amount of Pell Grant received
Private not-for-profit 4-year non-doctorate-granting	Undergraduate	All	All	Average amount of Pell Grant received
Private not-for-profit 4-year doctorate-granting	Undergraduate	All	All	Average amount of Pell Grant received
Private for-profit less-than-2-year	Undergraduate	All	All	Average amount of Pell Grant received
Private for-profit 2-year or more	Undergraduate	All	All	Average amount of Pell Grant received
All	Undergraduate	Dependent less than \$40,000	All	Percent receiving any aid
All	Undergraduate	Dependent \$40,000-79,999	All	Percent receiving any aid
All	Undergraduate	Dependent \$80,000 or more	All	Percent receiving any aid
All	Undergraduate	Independent less than \$20,000	All	Percent receiving any aid
All	Undergraduate	Independent \$20,000-29,999	All	Percent receiving any aid
All	Undergraduate	Independent \$30,000 or more	All	Percent receiving any aid
All	Undergraduate	Dependent less than \$40,000	All	Percent receiving a Stafford Loan
All	Undergraduate	Dependent \$40,000 or more	All	Percent receiving a Stafford Loan
All	Undergraduate	Independent less than \$20,000	All	Percent receiving a Stafford Loan
All	Undergraduate	Independent \$20,000 or more	All	Percent receiving a Stafford Loan

See notes at end of table.

**Table B-8. Domains and outcomes for NPSAS:04 national sample optimization: 2004—Continued**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
All	Undergraduate	Dependent less than \$40,000	All	Percent receiving a Pell Grant
All	Undergraduate	Independent less than \$20,000	All	Percent receiving a Pell Grant
All	Undergraduate	Dependent less than \$40,000	All	Average amount of aid received
All	Undergraduate	Dependent \$40,000-79,999	All	Average amount of aid received
All	Undergraduate	Dependent \$80,000 or more	All	Average amount of aid received
All	Undergraduate	Independent less than \$20,000	All	Average amount of aid received
All	Undergraduate	Independent \$20,000-29,999	All	Average amount of aid received
All	Undergraduate	Independent \$30,000 or more	All	Average amount of aid received
All	Undergraduate	Dependent less than \$40,000	All	Average amount of Stafford Loan received
All	Undergraduate	Dependent \$40,000 or more	All	Average amount of Stafford Loan received
All	Undergraduate	Independent less than \$20,000	All	Average amount of Stafford Loan received
All	Undergraduate	Independent \$20,000 or more	All	Average amount of Stafford Loan received
All	Undergraduate	Dependent less than \$40,000	All	Average amount of Pell Grant received
All	Undergraduate	Independent less than \$20,000	All	Average amount of Pell Grant received
Public 4-year	Undergraduate	All	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Dependent \$40,000-79,999	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Dependent \$80,000 or more	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Independent \$20,000-29,999	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Independent \$30,000 or more	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	All	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	Dependent \$40,000 or more	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	Independent \$20,000 or more	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	All	Full-time	Percent receiving a Pell Grant
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving a Pell Grant
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving a Pell Grant
Public 4-year	Undergraduate	All	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Dependent \$40,000-79,999	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Dependent \$80,000 or more	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Independent \$20,000-29,999	Full-time	Average amount of aid received

See notes at end of table.

Table B-8. Domains and outcomes for NPSAS:04 national sample optimization—Continued

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Public 4-year	Undergraduate	Independent \$30,000 or more	Full-time	Average amount of aid received
Public 4-year	Undergraduate	All	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	Dependent \$40,000 or more	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	Independent \$20,000 or more	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	All	Full-time	Average amount of Pell Grant received
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of Pell Grant received
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of Pell Grant received
Private not-for-profit 4-year	Undergraduate	All	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Dependent \$40,000-79,999	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Dependent \$80,000 or more	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Independent \$20,000-29,999	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Independent \$30,000 or more	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	All	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	Dependent \$40,000 or more	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	Independent \$20,000 or more	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	All	Full-time	Percent receiving a Pell Grant
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving a Pell Grant
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving a Pell Grant
Private not-for-profit 4-year	Undergraduate	All	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Dependent \$40,000-79,999	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Dependent \$80,000 or more	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Independent \$20,000-29,999	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Independent \$30,000 or more	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	All	Full-time	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	Dependent \$40,000 or more	Full-time	Average amount of Stafford Loan received

See notes at end of table.



**Table B-8. Domains and outcomes for NPSAS:04 national sample optimization—Continued**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	Independent \$20,000 or more	Full-time	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	All	Full-time	Average amount of Pell Grant received
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of Pell Grant received
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of Pell Grant received
All	Beginning postsecondary students	All	All	Percent receiving any aid
All	Beginning postsecondary students	Dependent less than \$40,000	All	Percent receiving any aid
All	Beginning postsecondary students	Dependent \$40,000-79,999	All	Percent receiving any aid
All	Beginning postsecondary students	Dependent \$80,000 or more	All	Percent receiving any aid
All	Beginning postsecondary students	Independent less than \$20,000	All	Percent receiving any aid
All	Beginning postsecondary students	Independent \$20,000-29,999	All	Percent receiving any aid
All	Beginning postsecondary students	Independent \$30,000 or more	All	Percent receiving any aid
All	Beginning postsecondary students	All	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	Dependent less than \$40,000	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	Dependent \$40,000 or more	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	Independent less than \$20,000	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	Independent \$20,000 or more	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	All	All	Percent receiving a Pell Grant
All	Beginning postsecondary students	Dependent less than \$40,000	All	Percent receiving a Pell Grant
All	Beginning postsecondary students	Independent less than \$20,000	All	Percent receiving a Pell Grant
All	Beginning postsecondary students	All	All	Average amount of aid received
All	Beginning postsecondary students	Dependent less than \$40,000	All	Average amount of aid received
All	Beginning postsecondary students	Dependent \$40,000-79,999	All	Average amount of aid received
All	Beginning postsecondary students	Dependent \$80,000 or more	All	Average amount of aid received
All	Beginning postsecondary students	Independent less than \$20,000	All	Average amount of aid received
All	Beginning postsecondary students	Independent \$20,000-29,999	All	Average amount of aid received
All	Beginning postsecondary students	Independent \$30,000 or more	All	Average amount of aid received
All	Beginning postsecondary students	All	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	Dependent less than \$40,000	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	Dependent \$40,000 or more	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	Independent less than \$20,000	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	Independent \$20,000 or more	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	All	All	Average amount of Pell Grant received
All	Beginning postsecondary students	Dependent less than \$40,000	All	Average amount of Pell Grant received
All	Beginning postsecondary students	Independent less than \$20,000	All	Average amount of Pell Grant received

See notes at end of table.

Table B-8. Domains and outcomes for NPSAS:04 national sample optimization—Continued

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Public 4-year	Beginning postsecondary students	All	All	Percent receiving any aid
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving any aid
Public 4-year	Beginning postsecondary students	Other	All	Percent receiving any aid
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Percent receiving any aid
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving any aid
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Percent receiving any aid
For-profit	Beginning postsecondary students	All	All	Percent receiving any aid
For-profit	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving any aid
For-profit	Beginning postsecondary students	Other	All	Percent receiving any aid
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	All	All	Percent receiving any aid
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving any aid
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Other	All	Percent receiving any aid
Public 4-year	Beginning postsecondary students	All	All	Percent receiving a Stafford Loan
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Stafford Loan
Public 4-year	Beginning postsecondary students	Other	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Percent receiving a Stafford Loan
For-profit	Beginning postsecondary students	All	All	Percent receiving a Stafford Loan
For-profit	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Stafford Loan
For-profit	Beginning postsecondary students	Other	All	Percent receiving a Stafford Loan
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	All	All	Percent receiving a Stafford Loan
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Stafford Loan
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Other	All	Percent receiving a Stafford Loan
Public 4-year	Beginning postsecondary students	All	All	Percent receiving a Pell Grant
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Pell Grant
Public 4-year	Beginning postsecondary students	Other	All	Percent receiving a Pell Grant
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Percent receiving a Pell Grant
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Pell Grant

See notes at end of table.

**Table B-8. Domains and outcomes for NPSAS:04 national sample optimization—Continued**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Percent receiving a Pell Grant
For-profit	Beginning postsecondary students	All	All	Percent receiving a Pell Grant
For-profit	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Pell Grant
For-profit	Beginning postsecondary students	Other	All	Percent receiving a Pell Grant
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	All	All	Percent receiving a Pell Grant
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Pell Grant
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Other	All	Percent receiving a Pell Grant
Public 4-year	Beginning postsecondary students	All	All	Average amount of aid received
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of aid received
Public 4-year	Beginning postsecondary students	Other	All	Average amount of aid received
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Average amount of aid received
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of aid received
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Average amount of aid received
For-profit	Beginning postsecondary students	All	All	Average amount of aid received
For-profit	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of aid received
For-profit	Beginning postsecondary students	Other	All	Average amount of aid received
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	All	All	Average amount of aid received
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of aid received
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Other	All	Average amount of aid received
Public 4-year	Beginning postsecondary students	All	All	Average amount of Stafford Loan received
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Stafford Loan received
Public 4-year	Beginning postsecondary students	Other	All	Average amount of Stafford Loan received
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Average amount of Stafford Loan received
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Stafford Loan received
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Average amount of Stafford Loan received
For-profit	Beginning postsecondary students	All	All	Average amount of Stafford Loan received
For-profit	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Stafford Loan received
For-profit	Beginning postsecondary students	Other	All	Average amount of Stafford Loan received
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	All	All	Average amount of Stafford Loan received
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Stafford Loan received

See notes at end of table.

**Table B-8. Domains and outcomes for NPSAS:04 national sample optimization—Continued**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Other	All	Average amount of Stafford Loan received
Public 4-year	Beginning postsecondary students	All	All	Average amount of Pell Grant received
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Pell Grant received
Public 4-year	Beginning postsecondary students	Other	All	Average amount of Pell Grant received
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Average amount of Pell Grant received
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Pell Grant received
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Average amount of Pell Grant received
For-profit	Beginning postsecondary students	All	All	Average amount of Pell Grant received
For-profit	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Pell Grant received
For-profit	Beginning postsecondary students	Other	All	Average amount of Pell Grant received
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	All	All	Average amount of Pell Grant received
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Pell Grant received
Public or private not-for-profit, less-than-4-year	Beginning postsecondary students	Other	All	Average amount of Pell Grant received
All 4-year	All graduate/first-professional students	All	All	Percent receiving any aid
All 4-year	Master's students	All	All	Percent receiving any aid
All 4-year, doctorate-granting	Doctoral students	All	All	Percent receiving any aid
All 4-year	Post-bachelor's certificate	All	All	Percent receiving any aid
All 4-year	Other graduate students	All	All	Percent receiving any aid
All 4-year, doctorate-granting	First-professional students	All	All	Percent receiving any aid
All 4-year	All graduate/first-professional students	All	All	Average amount of aid received
All 4-year	Master's students	All	All	Average amount of aid received
All 4-year, doctorate-granting	Doctoral students	All	All	Average amount of aid received
All 4-year	Post-bachelor's certificate	All	All	Average amount of aid received
All 4-year	Other graduate students	All	All	Average amount of aid received
All 4-year, doctorate-granting	First-professional students	All	All	Average amount of aid received
Public, 4-year, non-doctorate-granting	Master's students	All	All	Percent receiving any aid
Public, 4-year, doctorate-granting	Master's students	All	All	Percent receiving any aid
Private, 4-year, not-for-profit, non-doctorate-granting	Master's students	All	All	Percent receiving any aid
Private, 4-year, not-for-profit, doctorate-granting	Master's students	All	All	Percent receiving any aid
Public, 4-year, doctorate-granting	Doctoral students	All	All	Percent receiving any aid
Private, 4-year, not-for-profit, doctorate-granting	Doctoral students	All	All	Percent receiving any aid

See notes at end of table.

**Table B-8. Domains and outcomes for NPSAS:04 national sample optimization—Continued**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Public, 4-year, non-doctorate-granting	Master's students	All	All	Average amount of aid received
Public, 4-year, doctorate-granting	Master's students	All	All	Average amount of aid received
Private, 4-year, not-for-profit, non-doctorate-granting	Master's students	All	All	Average amount of aid received
Private, 4-year, not-for-profit, doctorate-granting	Master's students	All	All	Average amount of aid received
Public, 4-year, doctorate-granting	Doctoral students	All	All	Average amount of aid received
Private, 4-year, not-for-profit, doctorate-granting	Doctoral students	All	All	Average amount of aid received

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).

Table B-9. Domains and outcomes for NPSAS:04 state sample optimization

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
All	Undergraduate	All	All	Percent receiving any aid
Public 2-year	Undergraduate	All	All	Percent receiving any aid
Public 4-year	Undergraduate	All	All	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	All	All	Percent receiving any aid
All	Undergraduate	All	All	Percent receiving a Stafford Loan
Public 2-year	Undergraduate	All	All	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	All	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	All	All	Percent receiving a Stafford Loan
All	Undergraduate	All	All	Percent receiving a Pell Grant
Public 2-year	Undergraduate	All	All	Percent receiving a Pell Grant
Public 4-year	Undergraduate	All	All	Percent receiving a Pell Grant
Private not-for-profit 4-year	Undergraduate	All	All	Percent receiving a Pell Grant
All	Undergraduate	All	All	Average amount of aid received
Public 2-year	Undergraduate	All	All	Average amount of aid received
Public 4-year	Undergraduate	All	All	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	All	All	Average amount of aid received
All	Undergraduate	All	All	Average amount of Stafford Loan received
Public 2-year	Undergraduate	All	All	Average amount of Stafford Loan received
Public 4-year	Undergraduate	All	All	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	All	All	Average amount of Stafford Loan received
All	Undergraduate	All	All	Average amount of Pell Grant received
Public 2-year	Undergraduate	All	All	Average amount of Pell Grant received
Public 4-year	Undergraduate	All	All	Average amount of Pell Grant received
Private not-for-profit 4-year	Undergraduate	All	All	Average amount of Pell Grant received
All	Undergraduate	Dependent less than \$40,000	All	Percent receiving any aid
All	Undergraduate	Dependent \$40,000-79,999	All	Percent receiving any aid
All	Undergraduate	Dependent \$80,000 or more	All	Percent receiving any aid
All	Undergraduate	Independent less than \$20,000	All	Percent receiving any aid
All	Undergraduate	Independent \$20,000-29,999	All	Percent receiving any aid
All	Undergraduate	Independent \$30,000 or more	All	Percent receiving any aid
All	Undergraduate	Dependent less than \$40,000	All	Percent receiving a Stafford Loan
All	Undergraduate	Dependent \$40,000 or more	All	Percent receiving a Stafford Loan
All	Undergraduate	Independent less than \$20,000	All	Percent receiving a Stafford Loan
All	Undergraduate	Independent \$20,000 or more	All	Percent receiving a Stafford Loan

See notes at end of table.

**Table B-9. Domains and outcomes for NPSAS:04 state sample optimization—Continued**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
All	Undergraduate	Dependent less than \$40,000	All	Percent receiving a Pell Grant
All	Undergraduate	Independent less than \$20,000	All	Percent receiving a Pell Grant
All	Undergraduate	Dependent less than \$40,000	All	Average amount of aid received
All	Undergraduate	Dependent \$40,000-79,999	All	Average amount of aid received
All	Undergraduate	Dependent \$80,000 or more	All	Average amount of aid received
All	Undergraduate	Independent less than \$20,000	All	Average amount of aid received
All	Undergraduate	Independent \$20,000-29,999	All	Average amount of aid received
All	Undergraduate	Independent \$30,000 or more	All	Average amount of aid received
All	Undergraduate	Dependent less than \$40,000	All	Average amount of Stafford Loan received
All	Undergraduate	Dependent \$40,000 or more	All	Average amount of Stafford Loan received
All	Undergraduate	Independent less than \$20,000	All	Average amount of Stafford Loan received
All	Undergraduate	Independent \$20,000 or more	All	Average amount of Stafford Loan received
All	Undergraduate	Dependent less than \$40,000	All	Average amount of Pell Grant received
All	Undergraduate	Independent less than \$20,000	All	Average amount of Pell Grant received
Public 4-year	Undergraduate	All	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Dependent \$40,000-79,999	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Dependent \$80,000 or more	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Independent \$20,000-29,999	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	Independent \$30,000 or more	Full-time	Percent receiving any aid
Public 4-year	Undergraduate	All	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	Dependent \$40,000 or more	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	Independent \$20,000 or more	Full-time	Percent receiving a Stafford Loan
Public 4-year	Undergraduate	All	Full-time	Percent receiving a Pell Grant
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving a Pell Grant
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving a Pell Grant
Public 4-year	Undergraduate	All	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Dependent \$40,000-79,999	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Dependent \$80,000 or more	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of aid received

See notes at end of table.

Table B-9. Domains and outcomes for NPSAS:04 state sample optimization—Continued

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Public 4-year	Undergraduate	Independent \$20,000-29,999	Full-time	Average amount of aid received
Public 4-year	Undergraduate	Independent \$30,000 or more	Full-time	Average amount of aid received
Public 4-year	Undergraduate	All	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	Dependent \$40,000 or more	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	Independent \$20,000 or more	Full-time	Average amount of Stafford Loan received
Public 4-year	Undergraduate	All	Full-time	Average amount of Pell Grant received
Public 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of Pell Grant received
Public 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of Pell Grant received
Private not-for-profit 4-year	Undergraduate	All	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Dependent \$40,000-79,999	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Dependent \$80,000 or more	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Independent \$20,000-29,999	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	Independent \$30,000 or more	Full-time	Percent receiving any aid
Private not-for-profit 4-year	Undergraduate	All	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	Dependent \$40,000 or more	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	Independent \$20,000 or more	Full-time	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Undergraduate	All	Full-time	Percent receiving a Pell Grant
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Percent receiving a Pell Grant
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Percent receiving a Pell Grant
Private not-for-profit 4-year	Undergraduate	All	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Dependent \$40,000-79,999	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Dependent \$80,000 or more	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Independent \$20,000-29,999	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	Independent \$30,000 or more	Full-time	Average amount of aid received
Private not-for-profit 4-year	Undergraduate	All	Full-time	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	Dependent \$40,000 or more	Full-time	Average amount of Stafford Loan received

See notes at end of table.



**Table B-9. Domains and outcomes for NPSAS:04 state sample optimization—Continued**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	Independent \$20,000 or more	Full-time	Average amount of Stafford Loan received
Private not-for-profit 4-year	Undergraduate	All	Full-time	Average amount of Pell Grant received
Private not-for-profit 4-year	Undergraduate	Dependent less than \$40,000	Full-time	Average amount of Pell Grant received
Private not-for-profit 4-year	Undergraduate	Independent less than \$20,000	Full-time	Average amount of Pell Grant received
All	Beginning postsecondary students	All	All	Percent receiving any aid
All	Beginning postsecondary students	Dependent less than \$40,000	All	Percent receiving any aid
All	Beginning postsecondary students	Dependent \$40,000-79,999	All	Percent receiving any aid
All	Beginning postsecondary students	Dependent \$80,000 or more	All	Percent receiving any aid
All	Beginning postsecondary students	Independent less than \$20,000	All	Percent receiving any aid
All	Beginning postsecondary students	Independent \$20,000-29,999	All	Percent receiving any aid
All	Beginning postsecondary students	Independent \$30,000 or more	All	Percent receiving any aid
All	Beginning postsecondary students	All	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	Dependent less than \$40,000	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	Dependent \$40,000 or more	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	Independent less than \$20,000	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	Independent \$20,000 or more	All	Percent receiving a Stafford Loan
All	Beginning postsecondary students	All	All	Percent receiving a Pell Grant
All	Beginning postsecondary students	Dependent less than \$40,000	All	Percent receiving a Pell Grant
All	Beginning postsecondary students	Independent less than \$20,000	All	Percent receiving a Pell Grant
All	Beginning postsecondary students	All	All	Average amount of aid received
All	Beginning postsecondary students	Dependent less than \$40,000	All	Average amount of aid received
All	Beginning postsecondary students	Dependent \$40,000-79,999	All	Average amount of aid received
All	Beginning postsecondary students	Dependent \$80,000 or more	All	Average amount of aid received
All	Beginning postsecondary students	Independent less than \$20,000	All	Average amount of aid received
All	Beginning postsecondary students	Independent \$20,000-29,999	All	Average amount of aid received
All	Beginning postsecondary students	Independent \$30,000 or more	All	Average amount of aid received
All	Beginning postsecondary students	All	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	Dependent less than \$40,000	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	Dependent \$40,000 or more	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	Independent less than \$20,000	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	Independent \$20,000 or more	All	Average amount of Stafford Loan received
All	Beginning postsecondary students	All	All	Average amount of Pell Grant received
All	Beginning postsecondary students	Dependent less than \$40,000	All	Average amount of Pell Grant received

See notes at end of table.

Table B-9. Domains and outcomes for NPSAS:04 state sample optimization—Continued

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
All	Beginning postsecondary students	Independent less than \$20,000	All	Average amount of Pell Grant received
Public 4-year	Beginning postsecondary students	All	All	Percent receiving any aid
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving any aid
Public 4-year	Beginning postsecondary students	Other	All	Percent receiving any aid
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Percent receiving any aid
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving any aid
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Percent receiving any aid
Public 4-year	Beginning postsecondary students	All	All	Percent receiving a Stafford Loan
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Stafford Loan
Public 4-year	Beginning postsecondary students	Other	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Stafford Loan
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Percent receiving a Stafford Loan
Public 4-year	Beginning postsecondary students	All	All	Percent receiving a Pell Grant
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Pell Grant
Public 4-year	Beginning postsecondary students	Other	All	Percent receiving a Pell Grant
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Percent receiving a Pell Grant
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Percent receiving a Pell Grant
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Percent receiving a Pell Grant
Public 4-year	Beginning postsecondary students	All	All	Average amount of aid received
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of aid received
Public 4-year	Beginning postsecondary students	Other	All	Average amount of aid received
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Average amount of aid received
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of aid received
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Average amount of aid received
Public 4-year	Beginning postsecondary students	All	All	Average amount of Stafford Loan received
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Stafford Loan received
Public 4-year	Beginning postsecondary students	Other	All	Average amount of Stafford Loan received

See notes at end of table.

**Table B-9. Domains and outcomes for NPSAS:04 state sample optimization—Continued**

Institution domain	Student level	Dependency/income status	Attendance status	Outcome
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Average amount of Stafford Loan received
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Stafford Loan received
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Average amount of Stafford Loan received
Public 4-year	Beginning postsecondary students	All	All	Average amount of Pell Grant received
Public 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Pell Grant received
Public 4-year	Beginning postsecondary students	Other	All	Average amount of Pell Grant received
Private not-for-profit 4-year	Beginning postsecondary students	All	All	Average amount of Pell Grant received
Private not-for-profit 4-year	Beginning postsecondary students	Dependent less than \$40,000 or Independent less than \$20,000	All	Average amount of Pell Grant received
Private not-for-profit 4-year	Beginning postsecondary students	Other	All	Average amount of Pell Grant received

SOURCE: U.S. Department of Education, National Center for Education Statistics, 2004 National Postsecondary Student Aid Study (NPSAS:04).

### B.4.3 Cost Model

The cost model necessary to support the cost/variance optimization process was the following:

$$C = C_0 + \sum_{h=1}^{240} n_h C_h + \sum_{h=1}^{240} \sum_{k=1}^{14} n_h n_{hk} C_{hk}$$

where  $C$  represents the total cost of the NSoFaS,  $C_0$  represents the “fixed costs” that do not depend on the number of sample institutions, students, or faculty members,  $C_h$  represents the variable cost per participating institution in stratum  $h$ ,  $C_{hk}$  represents the variable cost per responding person (student or faculty member) in stratum  $(h,k)$ ,  $n_h$  represents the number of participating institutions selected from stratum  $h$ , and  $n_{hk}$  represents the number of responding persons selected from stratum  $(h,k)$ .<sup>14</sup>

Only the components of variable cost,  $C_h$  and  $C_{hk}$ , must be estimated to support the cost/variance optimization. They were estimated using the spreadsheet developed for the study budget. The cost per participating institution was estimated by holding the numbers of responding students and faculty members constant while varying the numbers of participating institutions. The resulting estimate of the variable cost per participating institution was:

$$C_h = \begin{cases} \$1,164.23 & \text{for institutions in stratum } h \text{ that are eligible for both NPSAS} \\ & \text{and NSOPF} \\ \$890.84 & \text{for institutions in stratum } h \text{ that are eligible only for NPSAS} \end{cases}$$

Likewise, the variable cost per participant was estimated by holding the number of participating institutions constant while varying the number of participating students and faculty members. The resulting estimate of the variable cost per participant was:

$$C_{hk} = \begin{cases} \$45.28 & \text{for students (k=1-8)} \\ \$32.91 & \text{for faculty members (k=9-14)} \end{cases}$$

### B.4.4 Relative Variance Model

The following model was developed to represent the relative variance of the NSoFaS estimate  $g$  (e.g., percentage of student receiving any federal student aid) for students or faculty belonging to domain  $d$  (e.g., all students enrolled in public 2-year institutions):

$$\text{RelVar}_{gd} = \sum_h \left\{ \sum_k W_{dhk}^2 UWE_{hk} \right\} \left[ \frac{\left[ \sum_{2gd}^2 \right] [CV_{gd}^2]}{r_h} \right] \left[ 1 + CV_{md}^2 \right] \left[ \frac{1}{n_h} - \frac{r_h}{N_h} \right] \\ + \sum_h \sum_k W_{dhk}^2 UWE_{hk} \left[ \frac{\left[ \sum_{4gd}^2 \right] [CV_{gd}^2]}{\alpha_{dhk}} \right] \left[ \frac{1}{n_{hk}} \right]$$

<sup>14</sup>  $k = 1-8$  represents the eight student strata and  $k = 9-14$  represents the six faculty strata.

where the parameters of this model are defined as follows:

1.  $h = 1, 2, \dots, 240$  represents the institution sampling strata;
2.  $k = 1, 2, \dots, 14$  represents the person sampling strata (1-8 for students and 9-14 for faculty);
3.  $W_{dhk}$  = proportion of domain  $d$  members who belong to stratum  $(h,k)$ ;
4.  $UWE_{hk}$  = unequal weighting effect within stratum  $(h,k)$ ;
5.  $\sigma_{1gd}^2$  = the variance between institution strata;
6.  $\sigma_{2gd}^2$  = the variance between institutions within strata;
7.  $\sigma_{3gd}^2$  = the variance between student or faculty strata;
8.  $\sigma_{4gd}^2$  = the variance between participants within person strata;
9.  $\sigma_{Tgd}^2 = \sigma_{1gd}^2 + \sigma_{2gd}^2 + \sigma_{3gd}^2 + \sigma_{4gd}^2$  = total variance of NSoFaS observations;
10.  $\sum_{2gd}^2 = \sigma_{2gd}^2 / \sigma_{Tgd}^2$  = proportion of variance between institutions within institution strata;
11.  $\sum_{4gd}^2 = \sigma_{4gd}^2 / \sigma_{Tgd}^2$  = proportion of variance between participants with person strata;
12.  $CV_{gd} = \sqrt{\sigma_{Tgd}^2} / \bar{y}_{gd}$  = coefficient of variation among NSoFaS observations;
13.  $r_h$  = stratum  $h$  institution response rate;
14.  $CV_{md}$  = coefficient of variation of cluster sizes ( $m$ ) among domain  $d$  members; and
15.  $\alpha_{dhk}$  = proportion of stratum  $(h,k)$  members who belong to domain  $d$ .

The proportion of domain  $d$  members who belong to stratum  $(h,k)$ ,  $W_{dhk}$ , and the proportion of stratum  $(h,k)$  members who belong to domain  $d$ ,  $\alpha_{dh}$ , were estimated using NPSAS:96, NPSAS:2000, and NSOPF:99 data. Using the restricted use data file for each study, each sample member was first assigned to the appropriate NSoFaS institution and person strata. Then, the analysis domains to which each sample student belonged were also identified (per tables B-8 and B-9). The statistical analysis weights from the respective surveys were then used to estimate the size of the domain  $d$  population within each stratum  $(h, k)$  for each of the 22 NSoFaS national-level institution sampling strata (STRAT22). These domain sizes were used to compute the domain prevalences,  $W_{dhk}$ , and  $\alpha_{dhk}$ , for the national sample. The national domain prevalences were then replicated for the corresponding domains in the 12 states because the sample sizes in the prior surveys were not sufficient to estimate the prevalences separately for each state.

The above estimates of domain prevalences did not distinguish between in-state and out-of-state NPSAS undergraduate students for two reasons. First, there was no need to distinguish them outside the 12 states. Second, the prior NPSAS data did not include a reliable indicator of in-state versus out-of-state students. Hence, the 2000 IPEDS Fall Enrollment Survey data were

used to estimate the proportion of in-state undergraduate students in each of the three state reporting domains in each of the 12 states.<sup>15</sup> These proportions were used to partition the proportion of stratum  $(h,k)$  members who belong to domain  $d$ ,  $\alpha_{dhk}$ , into in-state and out-of-state proportions for each state.

The components of variance –  $\sigma_{1gd}^2$ ,  $\sigma_{2gd}^2$ ,  $\sigma_{3gd}^2$ , and  $\sigma_{4gd}^2$  – were computed using the method of moments procedures in SAS Proc Nested, which resulted in some negative estimates. When a between-stratum variance component was estimated to be negative, the variance component for that stratum was considered to be negligible, and the variance components were re-computed without including that stratum in the computation. In addition, unusually small and extremely large person-level components of variance were truncated so that the person-level component of variance was always between 40 percent and 95 percent of the total variance.

Unequal weighting effects,  $UWE_{hk}$ , were computed based on the NPSAS:2000 statistical analysis weights. However, their values were highly variable, and it was decided that they were not reliable predictions of the unequal weighting effects to be expected with the NSoFaS:04 design. Hence, all the  $UWE$ s were set to 1.05.

The coefficient of variation,  $CV_{md}$ , of cluster sizes (numbers of students and faculty per institution) was computed for the members of each analysis domain  $d$  using the NPSAS:96 and NPSAS:2000 data and the domains in tables B-8 and B-9.

#### **B.4.5 Optimum Sample Allocation**

The technique developed by Chromy (1987) was used to determine the sample allocation to the 240 institution strata and 14 person strata that satisfied the precision constraints and other study objectives discussed in section B.4.1 at minimum cost using the cost model and relative variance model discussed in sections B.4.3 and B.4.4, respectively.

The results of this initial sample optimization exercise were used as the basis for the initial sample of about 1,600 institutions, as discussed in section B.2. All institutions with a Carnegie classification as public doctoral or private not-for-profit doctoral institutions were selected with certainty for NSoFaS because they have always been certainty strata for NSOPF. Within each state stratum, institutions belong to the NSOPF certainty strata first were selected with certainty. The computed allocations to the 240 institution strata were summarized at the level of the 58 strata (STRAT58), and the remaining institutions then were selected with probabilities proportional to size, after selecting with certainty any institutions for which the expected frequency of selection exceeded unity (1.00), as discussed in section B.2. As also discussed in section B.2, about 30 institutions were added to the sample during a freshening process.

After selecting the sample institutions, further refinements were made to the manner in which the optimization program determined which binding constraints could be relaxed. As precision constraints were iteratively relaxed during the optimization process, the student sample size distributions were constrained to achieve approximately the desired institution- and student-level marginal distributions. Hence, the sample optimization was re-run conditional on the sample of institutions that had already been selected to determine the optimum allocation of the

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<sup>15</sup> The state of residence was used for the first-time, full-time degree/certificate-seeking students as the indicator of in-state enrollees.

student sample sizes to these institutions. The results of this conditional optimization were used to set the final student sample rates, as discussed in section 3.

## **B.5 Appendix B References**

Chromy, J.R. (1979). Sequential Sample Selection Methods. *Proceedings of the American Statistical Association Section on Survey Research Methods of the American Statistical Association*, 401–406.

Chromy, J.R. (1981). Variance Estimators for a Sequential Sample Selection Procedure. In D. Krewski, R. Platek, and J.N.K. Rao (Eds.), *Current Top IMS in Survey Sampling* (pp. 329-347). New York: Academic Press.

Chromy, J.R. (1987). Design Optimization with Multiple Objectives. *Proceedings of the American Statistical Association Section on Social Statistics*, 194–199.

Williams, R.L., and Chromy, J.R. (1980). SAS Sample Selection MACROs. *Proceedings of the Fifth Annual SAS Users Group International Conference*, 392–396.





## Appendix C

# Data Collection Notification Materials

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Institution Contacting Letters and Inserts	
Chief Administrator Letter .....	C-5
Institution Coordinator Early Contacting Letter .....	C-7
Institution Coordinator Binder Letter .....	C-9
Institution Refusal Conversion Letter .....	C-11
Coordinator Response Form.....	C-13
Student Enrollment List Specifications .....	C-20
Pamphlets	
NSoFaS Pamphlet.....	C-31
NSOPF Pamphlet.....	C-35
NPSAS Pamphlet.....	C-37
Student Contacting Letters and E-Mail	
Initial Letter .....	C-41
Initial Letter (Spanish Version) .....	C-42
Web Insert.....	C-43
Initial E-mail .....	C-44
Second E-mail.....	C-45
Third E-mail.....	C-46
Nonresponse Letter .....	C-47
Nonresponse Letter (Spanish Version).....	C-48
Nonresponse E-mail.....	C-49
Refusal Letter.....	C-50
Refusal Letter (Spanish Version).....	C-51
Refusal E-mail .....	C-52
Will Complete Web E-mail Document.....	C-53
Postcard.....	C-54
Final Letter.....	C-55
Final Letter (Spanish Version).....	C-56
Final E-mail .....	C-57
Incentive Letter .....	C-58



**Institution Contacting Letters and Inserts**

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CHIEF ADMINISTRATOR LETTER

<DATE>

**NSoFaS  
Endorsed by**

American Association for  
Higher Education

American Association of  
Collegiate Registrars and  
Admissions Officers

American Association of  
Community Colleges

American Association of  
State Colleges and  
Universities

American Association of  
University Professors

American Council on  
Education

American Federation of  
Teachers

Association for Institutional  
Research

Association of American  
Colleges and Universities

Association of Catholic  
Colleges and Universities

Career College Association

The Carnegie Foundation for  
the Advancement of Teaching

College and University  
Professional Association for  
Human Resources

The College Board

The College Fund/UNCF

Council of Graduate Schools

The Council of Independent  
Colleges

Hispanic Association of  
Colleges and Universities

National Accrediting  
Commission of Cosmetology  
Arts and Sciences

National Association of  
College and University  
Business Officers

National Association for  
Equal Opportunity in Higher  
Education

National Association of  
Independent Colleges and  
Universities

National Association of State  
Universities and  
Land-Grant Colleges

National Association of  
Student Financial Aid  
Administrators

National Education  
Association

<CHIEF ADMIN NAME>

<ADDR 1>

<ADDR 2>

<CITY STATE ZIP>

Your IPEDS UNITID:

Your PASSWORD:

Dear <NAME>:

<INSTITUTION NAME> has been selected to participate in the 2004 National Study of Faculty and Students. The Higher Education Act (Sec. 131 (d), as amended in 1998) authorizes the U.S. Department of Education, National Center for Education Statistics (NCES) to periodically gather information from students, faculty, and instructional staff on two pivotal areas of national concern:

- How do students and their families finance education after high school?
- Who teaches in our colleges and universities, and how do they conduct their work?

In response to the continuing need for these data, information was collected from students in 1987, 1990, 1993, 1996, and 2000 as part of the National Postsecondary Student Aid Study (NPSAS). Data on full- and part-time faculty and instructional staff were collected for the National Study of Postsecondary Faculty (NSOPF) in 1988, 1993, and 1999. NCES has contracted with RTI International (RTI) to conduct the next data collection cycle for both studies under the 2004 National Study of Faculty and Students (NSoFaS:04) in order to minimize the reporting burden to postsecondary institutions. Additional information about our plans for NSoFaS:04 is provided in the enclosed materials, which include an NSoFaS brochure and copies of the brochures that participating students or faculty will receive.

Your institution's participation is crucial to the success of NSoFaS:04. **I am writing to request that you appoint an NSoFaS coordinator to oversee the preparation of lists of faculty/instructional staff and students at your institution.** The NSoFaS coordinator will also complete a brief questionnaire on the Internet about your institution's policies and procedures related to faculty and instructional staff. We will use the lists prepared by your institution to draw samples of faculty/instructional staff and students for participation in the 2004 NSOPF and NPSAS data collection cycles, respectively. Sampled faculty and students will be asked to complete a questionnaire on the Internet.

## Appendix C. Data Collection Notification Materials

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The individual whom you designate as coordinator should be someone (such as the Director of Institutional Research) who is familiar with data and information sources at your institution. If you require assistance with selecting an appropriate coordinator, you may call the NSoFaS Help Desk at 1-866-NSOFAS4 (1-866-676-3274, toll-free).

We are aware that you and the staff at your institution are confronted with many competing demands for your time. Therefore, we are providing you—and the coordinator you designate—with this advance notice of the study to allow you adequate time to plan for this data collection effort and, if needed, to contact us for more information prior to the start of data collection in the fall 2003/2004 term. Once designated, an RTI representative will contact your coordinator to discuss the study timeline and procedures required for your institution. Your coordinator will also be provided with a complete summary of our data request for the NPSAS and NSOPF components of NSoFaS.

All responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose, unless otherwise compelled by law. The enclosed pamphlets detail our data collection procedures and provide a full description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information, and other data. Additional information, including reports based on data from previous NSOPF and NPSAS studies, is available on the NSoFaS web site:

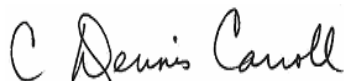
<https://surveys.nces.ed.gov/nsofas2004>

If you have any questions about the study or procedures involved, please contact the RTI Project Coordinator, Brian Kuhr, at 1-866-676-3274 or via e-mail at [nsofas2004@rti.org](mailto:nsofas2004@rti.org). You may also direct questions to NCES by contacting James Griffith at 1-202-502-7387 (e-mail address: [James.Griffith@ed.gov](mailto:James.Griffith@ed.gov)) or Linda Zimbler at 1-202-502-7481 (e-mail address: [Linda.Zimbler@ed.gov](mailto:Linda.Zimbler@ed.gov)).

***At your earliest convenience, please complete the NSoFaS Designate a Coordinator form online at the NSoFaS web site, using the IPEDS UNITID and password printed on the first page of this letter.***

We look forward to your participation in this important study. Thank you for your cooperation and prompt completion of the NSoFaS *Designate a Coordinator* form.

Sincerely,



C. Dennis Carroll, Ph.D.  
Associate Commissioner  
Postsecondary Studies Division

Enclosures

The NSoFaS *Designate a Coordinator* form may be completed online at

<https://surveys.nces.ed.gov/nsofas2004>

[To access the online form, enter the user name \(which is your IPEDS UNITID\) and password printed on the first page of this letter.](#)

INSTITUTION COORDINATOR EARLY CONTACTING LETTER

**NSoFaS  
Endorsed by**

American Association for  
Higher Education

American Association of  
Collegiate Registrars and  
Admissions Officers

American Association of  
Community Colleges

American Association of  
State Colleges and  
Universities

American Association of  
University Professors

American Council on  
Education

American Federation of  
Teachers

Association for Institutional  
Research

Association of American  
Colleges and Universities

Association of Catholic  
Colleges and Universities

Career College Association

The Carnegie Foundation for  
the Advancement of Teaching

College and University  
Professional Association for  
Human Resources

The College Board

The College Fund/UNCF

Council of Graduate Schools

The Council of Independent  
Colleges

Hispanic Association of  
Colleges and Universities

National Accrediting  
Commission of Cosmetology  
Arts and Sciences

National Association of  
College and University  
Business Officers

National Association for  
Equal Opportunity in Higher  
Education

National Association of  
Independent Colleges and  
Universities

National Association of State  
Universities and  
Land-Grant Colleges

National Association of  
Student Financial Aid  
Administrators

National Education  
Association

<DATE>

<COORD NAME>

<ADDR 1>

<ADDR 2>

<CITY STATE ZIP>

Your IPEDS UNITID:

Your PASSWORD:

Dear <NAME>

<INSTITUTION NAME> has been selected to participate in the 2004 National Study of Faculty and Students. The Higher Education Act (Sec. 131 (d), as amended in 1998) authorizes the U.S. Department of Education, National Center for Education Statistics (NCES) to periodically gather information from students, faculty, and instructional staff on two pivotal areas of national concern:

- How do students and their families finance education beyond high school?
- Who teaches in our colleges and universities, and how do they conduct their work?

In response to the continuing need for these data, information was collected from students in 1987, 1990, 1993, 1996, and 2000 as part of the National Postsecondary Student Aid Study (NPSAS). Data on full- and part-time faculty and instructional staff were collected for the National Study of Postsecondary Faculty (NSOPF) in 1988, 1993, and 1999. NCES has contracted with RTI International (RTI) to conduct the next data collection cycle for both studies under the 2004 National Study of Faculty and Students (NSoFaS:04) in order to minimize the reporting burden to postsecondary institutions. Additional information about our plans for NSoFaS:04 is provided in the enclosed materials, which include an NSoFaS brochure and copies of the brochures that participating students or faculty will receive.

**The chief administrative officer of your institution has selected you as your institution's coordinator for NSoFaS:04.** The enclosed materials detail your role and the role of your institution in this study and contain a timetable of major project activities. You will have four primary responsibilities for NSoFaS:04:

- Complete the *Coordinator Response Form* online at the NSoFaS web site, within the next few weeks, using the user name and password printed at the top of this letter. We will schedule data collection for your institution based on the information you provide. A facsimile of the *Coordinator Response Form* is included in the attached folder.
- Oversee the preparation of two data files: (1) a list of faculty and instructional staff and (2) an enrollment list of students at your institution. These data files will be used to draw samples of faculty/instructional staff and students for participation in NSoFaS:04. Sampled faculty and students will be asked to complete a questionnaire on the Internet.

- Complete a separate web-based program requiring institution record information for a sample of students.

**NSoFaS:04 will begin in September 2003.** At that time, complete instructions for your institution's participation will be sent directly to you. **In the meantime**, please review the enclosed materials at your earliest convenience.

We are aware that you and other staff at your institution are confronted with many competing demands for your time. We hope that giving you this advance notice of the study will provide you with ample time to plan for your school's participation in NSoFaS:04. A project representative will call you in the next few days to ensure that you have received this notification and to answer any questions that you may have. You may also call the NSoFaS Help Desk directly at 1-866-NSOFAS4 (1-866-676-3274).

All responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose, unless otherwise compelled by law. The enclosed materials detail our data collection procedures and provide a detailed description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information, and demographic data. Additional information, including reports based on data from previous NSOPF and NPSAS studies, is available on the NSoFaS web site:

<https://surveys.nces.ed.gov/nsofas2004>

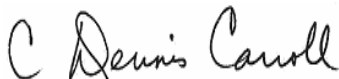
If you have questions about the study or procedures, please contact the RTI Project Coordinator, Brian Kuhr, at 1-866-676-3274 or via e-mail at [nsfas2004@rti.org](mailto:nsfas2004@rti.org). You may also direct questions to NCES by contacting James Griffith at 1-202-502-7387 (e-mail address: [James.Griffith@ed.gov](mailto:James.Griffith@ed.gov)) or Linda Zimpler at 1-202-502-7481 (e-mail address: [Linda.Zimpler@ed.gov](mailto:Linda.Zimpler@ed.gov)).

***At your earliest convenience, please complete Coordinator Response Form online at the NSoFaS web site, using the IPEDS UNITID and password printed on the first page of this letter.***

We look forward to your participation in this important study.

Thank you for your cooperation.

Sincerely,



C. Dennis Carroll, Ph.D.  
Associate Commissioner  
Postsecondary Studies Division

Enclosures

The NSoFaS *Coordinator Response Form* may be completed online at

<https://surveys.nces.ed.gov/nsfas2004>

To access the online form, enter the IPEDS UNITID and password printed on the first page of this letter.



INSTITUTION COORDINATOR BINDER LETTER

**NSoFaS  
Endorsed by**

American Association for Higher Education

American Association of Collegiate Registrars and Admissions Officers

American Association of Community Colleges

American Association of State Colleges and Universities

American Association of University Professors

American Council on Education

American Federation of Teachers

Association for Institutional Research

Association of American Colleges and Universities

Association of Catholic Colleges and Universities

Career College Association

The Carnegie Foundation for the Advancement of Teaching

College and University Professional Association for Human Resources

The College Board

The College Fund/UNCF

Council of Graduate Schools

The Council of Independent Colleges

Hispanic Association of Colleges and Universities

National Accrediting Commission of Cosmetology Arts and Sciences

National Association of College and University Business Officers

National Association for Equal Opportunity in Higher Education

National Association of Independent Colleges and Universities

National Association of State Universities and Land-Grant Colleges

National Association of Student Financial Aid Administrators

National Education Association

<DATE>

<COORD NAME>

<ADDR 1>

<ADDR 2>

<CITY STATE ZIP>

Your IPEDS UNITID:

Your PASSWORD:

Dear <NAME>:

As the person designated to be the Institution Coordinator for the 2004 National Study of Faculty and Students (NSoFaS:04) at your institution, you are receiving detailed instructions (see enclosed binder) to ensure your full participation in both the study's faculty and student components. We look forward to working with you on this important research effort, and are available to answer any questions you may have on how to carry out the coordination activities requested of you.

As described in materials provided during the early notification period of the study this past spring/summer, NSoFaS:04 is being conducted for the U.S. Department of Education's National Center for Education Statistics (NCES) by RTI International (RTI). This ongoing study, designed to collect data from nationally representative samples of postsecondary students and faculty and instruction staff, provides vital information on changes over time in two pivotal areas of national concern:

- How students and their families finance education after high school, and
- Who teaches in our colleges and universities and how they conduct their work.

In response to the continuing need for the data provided by NSoFaS, Congress has authorized NCES to collect these data periodically. Data on full- and part-time faculty and instructional staff were collected through the faculty component—the National Study of Postsecondary Faculty (NSOPF)—in 1988, 1993, and 1999. Information on students and student financial aid was previously collected in 1987, 1990, 1993, 1996, and 2000 as part of the student component—the National Postsecondary Student Aid Study (NPSAS).

**Your institution has been sampled for participation in both the faculty and student components of NSoFaS:04.** As the Institution Coordinator, you are asked to oversee the completion of the following activities for NSoFaS:04:

- **Completion of the *Coordinator Response Form (CRF)* online at the NSoFaS web site, <https://surveys.nces.ed.gov/nsofas2004/>, using the IPEDS UNITID and password printed at the top of this letter.** If you have already completed this document, a copy of the form may be printed from the web site after log in. A data collection timeline for your institution has been scheduled based on the information you provided. *If you have not completed the CRF online, please do so at your earliest convenience.* For reference, a facsimile of the CRF is included in the enclosed binder.

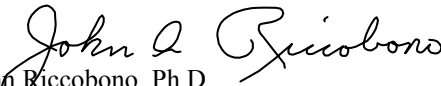
- **Preparation of a complete data file listing all full- and part-time faculty, adjunct faculty, and instructional staff (including available contact and demographic information).** The file should be current as of November 1, 2003, or the date at your institution when faculty rosters for the fall academic term are complete. [FOR INST THAT COMPLETED THE CRF AND HAVE INDICATED DATE OTHER THAN DEC 6]: *<Information provided on the CRF indicates that you will send your faculty list to RTI on <DATE> [FOR NULL/DEC 6: The NSoFaS help desk will call to confirm the date at which we can expect your institution's list. It is important that we receive your institution's list prior to the end of the fall term, if possible.]*
- **Completion of the *Institution Questionnaire* online at the NSoFaS web site.** The questionnaire may be completed in multiple sessions; however, Question 1 (which asks for counts of full- and part-time faculty and instructional staff at your institution) should be answered at the time you send your list of faculty. A facsimile of the questionnaire is included in your binder. *Please complete this questionnaire online by December 5, 2003, or by the date you submit your faculty list noted above if different.*
- **Preparation of a complete data file listing all students enrolled at your institution at any time between July 1, 2003, and April 30, 2004.** Please refer to the enclosed NPSAS materials for a complete set of student eligibility criteria. Your *list of students enrolled* should be transmitted to RTI as early as possible. This data file will be used to draw a sample of students for participation in NPSAS. Sampled students will be asked to complete a questionnaire on our secured web site over the Internet. It is critical that we allow students ample time to respond before the end of the academic year. [FOR INST THAT COMPLETED A CRF: *<Information provided on the CRF indicates that you will send the student list to RTI on <DATE>. [ NO CRF/ UNKNOWN AFTER DATE: The NSoFaS help desk will call to confirm the date at which we can expect your institution's list.]*
- **Completion of a separate web-based computer-assisted data entry (webCADE) program that requires institution record information for those students who are sampled.** This includes specific information on their enrollment status, financial assistance, and demographic characteristics. More details can be found in the enclosed binder.

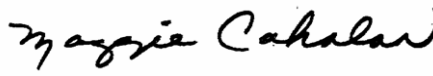
All responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed or used, in identifiable form, for any other purpose, unless otherwise compelled by law. The enclosed materials detail our data collection procedures and provide a detailed description of the laws and procedures safeguarding the confidentiality of individual questionnaire responses, contact information, and demographic data. Additional sources of information, including reports based on data from previous NSOPF and NPSAS studies, are available on the NSoFaS web site: <https://surveys.nces.ed.gov/nsofas2004/>.

If you have questions about the study purposes or procedures, please contact either of us or Brian Kuhr, Project Coordinator, at 1-866-NSOFAS4 (1-866-676-3274) or via e-mail at [nsofas2004@rti.org](mailto:nsofas2004@rti.org). You may also direct questions to NCES by contacting either James Griffith at 1-202-502-7387 (e-mail address: [James.Griffith@ed.gov](mailto:James.Griffith@ed.gov)) or Linda Zimble at 1-202-502-7481 (e-mail address: [Linda.Zimble@ed.gov](mailto:Linda.Zimble@ed.gov)).

We look forward to your participation in this important study. Thank you for your cooperation.

Sincerely,

  
John Riccobono, Ph.D.  
NPSAS Project Director

  
Margaret Cahalan, Ph.D.  
NSOPF Project Director

Enclosures

Your institution's response to the National Study of Faculty and Students may be completed online at <https://surveys.nces.ed.gov/nsofas2004/>

To upload lists or other data collection forms, go to the **login** tab found on the home/login page. You will be prompted to enter the IPEDS UNITID and password printed on the first page of this letter.

INSTITUTION REFUSAL CONVERSION LETTER

**NSoFaS  
Endorsed by**

American Association for  
Higher Education

American Association of  
Collegiate Registrars and  
Admissions Officers

American Association of  
Community Colleges

American Association of  
State Colleges and  
Universities

American Association of  
University Professors

American Council on  
Education

American Federation of  
Teachers

Association for Institutional  
Research

Association of American  
Colleges and Universities

Association of Catholic  
Colleges and Universities

Career College Association

The Carnegie Foundation for  
the Advancement of Teaching

College and University  
Professional Association for  
Human Resources

The College Board

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The Council of Independent  
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Hispanic Association of  
Colleges and Universities

National Accrediting  
Commission of Cosmetology  
Arts and Sciences

National Association of  
College and University  
Business Officers

National Association for  
Equal Opportunity in Higher  
Education

National Association of  
Independent Colleges and  
Universities

National Association of State  
Universities and  
Land-Grant Colleges

National Association of  
Student Financial Aid  
Administrators

National Education  
Association

<DATE>

<NAME>

<ADDR 1>

<ADDR 2>

<CITY STATE ZIP>

Your IPEDS UNITID:

Your PASSWORD:

Dear <NAME>:

I am writing to you again to urge your participation in the 2004 National Study of Faculty and Students (NSoFaS:04). Because your participation is so important to the success of NSoFaS:04, I have authorized assistance to your institution to facilitate its timely participation in NSoFaS:04.

The Higher Education Act (Sec. 131 (d)), as amended by the United States Congress in 1998, provides the U.S. Department of Education, National Center for Education Statistics (NCES) with the authority and a mandate to periodically gather data on the condition of postsecondary education in the United States. NSoFaS:04 plays an essential role in fulfilling this mandate.

NSoFaS:04 consists of two very important studies conducted by NCES: the 2004 National Study of Postsecondary Faculty (NSOPF:04) and the 2004 National Postsecondary Student Aid Study (NPSAS:04). The nationally representative sample for the two studies is selected from among all Title IV eligible institutions. To ensure representation of the entire range of postsecondary institutions in the nation, we count on cooperation from each of the sampled institutions. We are grateful for the outstanding cooperation that we have received in previous cycles of these studies. We urgently request your institution's participation in NSoFaS:04.

We are well aware that, especially under difficult economic conditions, postsecondary institutions have limited staff and resources to devote to participating in research studies, regardless of their importance. That is why we have instructed RTI International, NCES' contractor for NSoFaS:04, to provide your institution with the assistance necessary to accomplish the following:

- Provide a list of faculty and instructional staff employed by your institution as of November 1, 2003;
- Complete a brief Institution Questionnaire concerning your institution's policies and procedures regarding faculty;
- Provide a list of postsecondary students enrolled at your institution between July 1, 2003 and April 30, 2004; and
- Complete a student record abstraction form for a small number of students selected from the enrollment list.

**To assist your institution in participating in the study, NCES has authorized RTI International to provide compensation for the staff and resources required by your institution to compile lists of faculty and students and associated documentation.**

Moreover, if necessary, RTI will also arrange for one of its specially-trained staff to visit your institution and perform the record abstractions for sampled students.

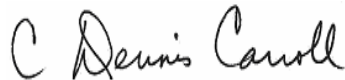
Data collection for NSoFaS:04 is both authorized and protected by federal confidentiality laws, including the Family Education Rights and Privacy Act (FERPA). The small number of faculty and students sampled from the lists provided by your institution will be asked to participate in NSoFaS:04 by completing a questionnaire online or by telephone in a confidential and secure manner. We encourage you to review the additional information available about NSoFaS:04 at the following web site: <https://surveys.nces.ed.gov/nsofas2004/>

Both the Institution Questionnaire and secure uploads for faculty and student lists may be accessed at this site. The user name (IPEDS UNITID) and password required to access the forms and procedures for your institution are printed at the top of this letter.

Over the course of the next 2 weeks, a representative from RTI will be contacting you to discuss your needs and the best way to facilitate your institution's participation in NSoFaS:04. You may also contact Brian Kuhr, the Project Coordinator at 1-866-676-3274 or by e-mail at [nsofas2004@rti.org](mailto:nsofas2004@rti.org) to confirm your participation in the study and to request any necessary assistance in providing the data requested. You may direct questions to NCES by contacting James Griffith at 1-202-502-7387 (e-mail address: [James.Griffith@ed.gov](mailto:James.Griffith@ed.gov)) or Linda Zimble at 1-202-502-7481 (e-mail address: [Linda.Zimble@ed.gov](mailto:Linda.Zimble@ed.gov)).

Once again, thank you for your consideration.

Sincerely,



C. Dennis Carroll, Ph.D.  
Associate Commissioner  
Postsecondary Education Division

The NSoFaS forms may be completed online at

<https://surveys.nces.ed.gov/nsofas2004/>

[To access the online form, enter the user name \(which is your IPEDS UNITID\) and password printed on the first page of this letter.](#)



The 2004 National Study of Faculty and Students  
(NSoFaS:04)



## COORDINATOR RESPONSE FORM (CRF) FACSIMILE

If you completed the CRF in spring/summer 2003, a report can be viewed and/or printed from the web site with your responses—specifically, the due dates established for submitting your list of faculty and instructional staff and/or list of students enrolled.

Follow the steps below to connect to the study's secure web site.

Connect browser to:

<https://surveys.nces.ed.gov/nsofas2004/>

At the *Home/Login* page:

Enter your unique IPEDS UNITID and password.<sup>1</sup>

Select the option *View Coordinator Response Form Report*. (Click on link.)

If you did not complete the form in spring/summer 2003, please review this facsimile and complete the CRF online as soon as possible upon receipt of this binder.

Follow the steps below to connect to the study's secure web site.

Connect browser to:

<https://surveys.nces.ed.gov/nsofas2004/>

At the *Home/Login* page:

Enter your unique IPEDS UNITID and password.<sup>1</sup>

Select the option *Coordinator Response Form*. (Click on button.)

If you are unable to complete the CRF online, you may complete the form by telephone. Please call the 2004 National Study of Faculty and Students (NSoFaS:04) Help Desk at 1-866-NSOFAS4 (1-866-676-3274). Staff members are available Monday through Friday, from 9 a.m. to 7 p.m. (Eastern Time). You will be able to immediately complete the information with a staff member or schedule an appointment to complete it at a more convenient time.

<sup>1</sup> Your unique and secure Integrated Postsecondary Education Data System (IPEDS) UNITID and password are printed on the letter accompanying this material or they may be obtained by contacting the Help Desk at 1-866-NSOFAS4 (1-866-676-3274).



## The 2004 National Study of Faculty and Students (NSoFaS:04)



### Coordinator Response Form

Your response to these questions will allow RTI to customize some of the systems on the NSoFaS web site with characteristics unique to your institution. This will make it easier for you and your staff to move through the various study components.

**1. Institutions use different methods to account for a student's credits—that is, to track completion of required curricula, courses, or programs offered at that institution.**

**How are course/programs measured at your institution?**

- Clock hours
- Credit hours
- Both

**2. Institutions use a variety of structures to quantify the hours that are taken by a student during a calendar year or school year.**

**What calendar system is used at your institution?**

- Semesters
- Quarters
- Trimesters
- 4-1-4
- Differs by program
- Continuous/Open Enrollment
- No standard terms



**The 2004 National Study of Faculty and Students**  
(NSoFaS:04)



**3. Identify the names of each of the terms/enrollment periods (sometimes referred to as payment periods) that a student may enroll in between July 1, 2003, and June 30, 2004. Please include all terms, even those that may apply to special types of students (e.g., medical or MBA students).**

NOTE: SOME PORTION OF THE TERM MUST OCCUR BETWEEN JULY 1, 2003, AND JUNE 30, 2004, BUT MAY START PRIOR TO JULY 1 OR END AFTER JUNE 30.

After all the terms are added, please press the Continue button.

Add Term

Please add a term.

Please enter the name of the term and the associated start and end dates.

Term Name:

Start date: Month:  Day:  Year:

End date: Month:  Day:  Year:

**THIS IS AN EXAMPLE OF HOW QUESTION 3 MAY BE COMPLETED.**

**3. Identify the names of each of the terms/enrollment periods (sometimes referred to as payment periods) that a student may enroll in between July 1, 2003, and June 30, 2004. Please include all terms, even those that may apply to special types of students (e.g., medical or MBA students).**

NOTE: SOME PORTION OF THE TERM MUST OCCUR BETWEEN JULY 1, 2003, AND JUNE 30, 2004, BUT MAY START PRIOR TO JULY 1 OR END AFTER JUNE 30.

After all the terms are added, please press the Continue button.

Delete?	Term Name	Term start date	Term end date
<input type="checkbox"/>	First Summer	6/6/2003	7/15/2003
<input type="checkbox"/>	Second Summer	7/21/2003	8/8/2003
<input type="checkbox"/>	Fall 2003	8/28/2003	12/6/2003
<input type="checkbox"/>	Spring 2004	2/10/2004	5/5/2004
<input type="checkbox"/>	First Summer 2004	5/6/2004	6/15/2004

Add Term

Delete selected Terms



## The 2004 National Study of Faculty and Students

(NSoFaS:04)



**4. Identify institution grants and scholarships. Include only those institutional grants and scholarships paid out of institutional revenue, including restricted funds that originate from private donations or endowments. Do not include grants or scholarships funded by state or federal sources, even if the award decisions are made by institution staff. State grant program funds that are allocated to and awarded by your institution (instead of a centralized state grant system that makes awards to students) should not be included as institutional aid.**

**Please list up to 12 names of the most prevalent institution grants and scholarships awarded and indicate whether “need,” “merit,” or “both” is considered when making these awards.**

Check here if your institution **does not** award institution grants or scholarships. Then click on the Continue button below.

Add Award

**THIS IS AN EXAMPLE OF HOW QUESTION 4 MAY BE COMPLETED.**

**4. Identify institution grants and scholarships. Include only those institutional grants and scholarships paid out of institutional revenue, including restricted funds that originate from private donations or endowments. Do not include grants or scholarships funded by state or federal sources, even if the award decisions are made by institution staff. State grant program funds that are allocated to and awarded by your institution (instead of a centralized state grant system that makes awards to students) should not be included as institutional aid.**

**Please list up to 12 names of the most prevalent institution grants and scholarships awarded and indicate whether “need,” “merit,” or “both” is considered when making these awards.**

Delete?	Name of Award	Basis of Award Decision
<input type="checkbox"/>	Future Teachers of North Carolina Scholarship	BOTH

Add Award

Delete selected Awards





**The 2004 National Study of Faculty and Students**  
(NSoFaS:04)



**NPSAS (STUDENT COMPONENT ONLY) INSTITUTIONS  
WILL AUTOMATICALLY SKIP THIS QUESTION WHEN FORM IS COMPLETED ON  
WEB.**

5. We would like to receive a list of faculty and instructional staff employed at your institution as of November 1, 2003. The table to the right depicts the data elements to be included on the list for each faculty and instructional staff member. We'd like to receive the list of faculty and instructional staff no later than December 5, 2003.

**Faculty and Instructional Staff Data Elements**

1. First Name
2. Middle Initial
3. Last Name
4. Name Suffix (e.g., Jr., Sr., III, etc.)
5. Employee ID
6. Race/Ethnicity
7. Gender
8. Employment Status
9. Academic Field
10. Campus Address 1
11. Campus Address 2
12. Campus City
13. Campus State
14. Campus Zip Code
15. Campus Telephone Number
16. Campus e-mail
17. Home Address 1
18. Home Address 2
19. Home City
20. Home State
21. Home Zip Code
22. Home Telephone Number
23. Home e-mail

When will you be able to provide the list of faculty and instructional staff?



On or before December 5, 2003



After December 5, 2003. (A project staff member will call to establish a specific date.)

▶ CONTINUE

◀ BACK



The 2004 National Study of Faculty and Students  
(NSoFaS:04)



**THESE DATES ARE AN EXAMPLE OF HOW THE DATE FILLS IN BASED ON YOUR INSTITUTION'S RESPONSE TO QUESTION 4 ( IF ANY TERMS WERE ENTERED)**

6. Please provide a list of all students enrolled at your institution. The table to the right depicts the data elements to be included on the list for each student. We'd like to receive the enrollment list as soon as possible. Based on the dates you provided for terms during the 2003-04 academic year, **February 24, 2004**, is 2 weeks after the beginning of the **"Spring 2004"** term, which is the last term with a start date that is **on or before April 30, 2004**.

When will you be able to provide the list of all students enrolled?



On or before **February 24, 2004**



After **February 24, 2004**. (A project staff member will call to establish a specific date.)

[▶ CONTINUE](#)

[◀ BACK](#)

**Student Data Element**

1. First Name
2. Middle Initial
3. Last Name
4. Name Suffix (e.g., Jr., Sr., III, etc.)
5. Student ID
6. Social Security Number
7. Educational Level
8. First Time Beginner
9. Local Address 1
10. Local Address 2
11. Local City
12. Local State
13. Local ZIP Code
14. Local Telephone Number
15. Campus e-mail
16. Permanent Address 1
17. Permanent Address 2
18. Permanent City
19. Permanent State
20. Permanent ZIP Code
21. Permanent Telephone Number
22. Permanent e-mail



## The 2004 National Study of Faculty and Students (NSoFaS:04)



7. When RTI receives your list of students enrolled, a random sample will be selected. During the final stage of the study, you will enter specific data from sampled students' records pertaining to enrollment and financial aid status. NPSAS webCADE (a computer-assisted data entry Internet application) is the application developed to assist in your completing this stage. It will be available on the study web site once the sample has been selected. You will enter student data on this site using either **Netscape 4.8 or higher** or **MS Internet Explorer 5.0** or higher with the following:

- **128-bit encryption.** You may need to adjust your browser settings or download an update to activate 128-bit encryption.

- **JavaScript enabled.** JavaScript is the programming language of the interactive sections of our web site and must be enabled for many pages to work properly.

Will it be possible for you to use this software to provide the requested data?

Yes

No

Would like to discuss options with staff

▶ CONTINUE

◀ BACK

### OPTIONS AT END OF CRF

You have reached the end of this form. Please check the option that best describes how you would like us to proceed:

**Close completed form:** You have completed all the information, including all terms, awards, and dates when we can expect your faculty list and your list of students enrolled. Checking this option means that you are submitting this form as final. If you later determine that you need to make modifications, please call 1-866-NSOFAS4 (1-866-676-3274) or e-mail the changes to [nsotas2004@rti.org](mailto:nsotas2004@rti.org).

**Keep form open for later completion:** You have completed all or most of the information, including some terms, some awards, and dates when we can expect your faculty list and your list of students enrolled. Checking this option will allow you to continue accessing this form on the web until you are entirely satisfied that all information has been entered. NSoFaS staff may call you to offer their assistance.

**Provide assistance:** You would like NSoFaS staff to call you to schedule a time to complete the items. Checking this option forwards an auto e-mail to [nsotas2004@rti.org](mailto:nsotas2004@rti.org) and a staff person will call to set an appointment for completing the Response Form with you over the telephone. A facsimile of the form was provided with your early notification packet to assist with preparation of your responses at that time.

▶ CONTINUE

◀ BACK



## The 2004 National Postsecondary Student Aid Study (NPSAS:04)

### GUIDANCE FOR PREPARING THE LIST OF STUDENTS ENROLLED

#### Background

The *list of students enrolled* that you provide will be used to randomly select a nationally representative sample of students in postsecondary institutions across the nation. To ensure a scientifically valid sample, it is extremely important that you follow the instructions provided in this document when preparing your institution's list. Because postsecondary institutions vary widely in their organizational structures, we realize that some of the criteria presented below may not apply to your institution. Please interpret the instructions and terms according to your institution's usage.

Should you have any questions about these instructions, or whether students should or should not be included on the list, we urge you to contact the NSoFaS Help Desk at:

- Phone: 1-866-NSOFAS4 (1-866-676-3274)
- E-mail: [nsotas2004@rti.org](mailto:nsotas2004@rti.org)

#### Eligibility Requirements

Include all students enrolled at your institution at any time between July 1, 2003, and April 30, 2004, who satisfy **all** of the following requirements:

- The student was enrolled during these dates in at least one term or course of instruction that is one of the following (i.e., student considered to be eligible for Title IV aid):
  - i. an academic program;
  - ii. at least one course for credit that could be applied toward fulfilling the requirements for an academic degree; *or*
  - iii. an occupational or vocational program that requires at least 3 months or 300 clock hours of instruction to receive a degree, certificate, or other formal award.
- The student was not enrolled concurrently in high school and your institution during this *entire* period. (Note: A student enrolled in courses at your institution while also enrolled in high school is not eligible. However, if that student completes high school and then enrolls in a course of instruction at your institution at some time during the above dates, the student is eligible.)
- The student was not enrolled in your institution during this *entire* period solely for the purpose of earning a general equivalency diploma (GED) or finishing another high school completion program. (Note: If the student completes such a program at your institution and then enrolls in another course of instruction there at any time during the above dates, the student is eligible.)



## The 2004 National Postsecondary Student Aid Study (NPSAS:04)

- The student was not enrolled in your institution during these dates only for vocational purposes, not receiving credit.
- The student did not drop out of your institution early enough to receive a full refund of their tuition.
- The student did not pay tuition during these dates solely to a different institution.

### Data Elements Required

For each eligible student on the list we will need the information listed in the accompanying *Contact Information and File Layout* document. If you use other codes or another layout, please provide us with a detailed description of the codes and layout of your list.

### File Types

As detailed on the *Contact Information and File Layout* document, you may choose to submit your *list of students enrolled* as an ASCII fixed-field file, a comma-delimited file, or an Excel spreadsheet. If you choose to use a different file type, please be sure to indicate its type and layout. If you have no option but to send your list in paper form, we prefer to receive a single, unduplicated list in which each student's name appears only once.



## The 2004 National Postsecondary Student Aid Study (NPSAS:04)

### CONTACT INFORMATION AND FILE LAYOUT FOR CREATING THE LIST OF STUDENTS ENROLLED

This document is in two sections. In the first section (pages 1–3) we ask you to provide the information requested for all individuals responsible for preparing your student list. Please include this information when you provide the list. This information will be used only when we need to contact these individuals with questions regarding your list. The second section (page 4) provides details of our suggested file layout for creating your list.

You can transmit this document to us via one of the following two modes:

- Select the option *Upload List of Students Enrolled* after logging in to the web site at: <https://surveys.nces.ed.gov/nsotas2004/>.
- Federal Express (use the airbill information provided as part of the Transmittal Options document that follows this document in this tab).

Should you have any questions, please call the NSoFaS Help Desk at: 1–866–NSOFAS4 (1–866–676–3274).

**1. Institution Identification:** Please provide the following information about your institution:

**Institution Name:** \_\_\_\_\_

**Institution IPEDS UNITID:<sup>2</sup>** \_\_\_\_\_

**Date:** Please specify the date your student list was prepared (mm/dd/yyyy): \_\_\_\_/\_\_\_\_/\_\_\_\_

**Contact Information:** Please provide the following information for all individuals responsible for preparing your *list of students enrolled*.

Name	Department	E-mail address	Telephone number

<sup>2</sup> Note that your institution name and Integrated Postsecondary Education Data System (IPEDS) UNITID is printed on the letter that accompanies this binder.



## The 2004 National Postsecondary Student Aid Study (NPSAS:04)

**Counts of Eligible Students:** Between July 1, 2003, and April 30, 2004, how many students have been enrolled in your institution that satisfy **all** the following requirements?

- The student was enrolled during these dates in at least one term or course of instruction that is one of the following (i.e., student considered to be eligible for Title IV aid):
  - i. an academic program;
  - ii. at least one course for credit that could be applied toward fulfilling the requirements for an academic degree; *or*
  - iii. an occupational or vocational program that requires at least 3 months or 300 clock hours of instruction to receive a degree, certificate, or other formal award.
  
- The student was not enrolled concurrently in high school and your institution during this *entire* period. (Note: A student enrolled in courses at your institution while also enrolled in high school is not eligible. However, if that student completes high school and then enrolls in a course of instruction at your institution at some time during the above dates, the student is eligible.)
  
- The student was not enrolled in your institution during this *entire* period solely for the purpose of earning a general equivalency diploma (GED) or finishing another high school completion program. (Note: If the student completes such a program at your institution and then enrolls in another course of instruction there at any time during the above dates, the student is eligible.)
  
- The student was not enrolled in your institution during these dates only for vocational purposes, not receiving credit.
  
- The student did not drop out of your institution early enough to receive a full refund of their tuition.
  
- The student did not pay tuition during these dates to a different institution.

**Please provide the total number of eligible students:** \_\_\_\_\_

- 5. Electronic File Type and Layout:** Using the file layout specifications on the next page, please mark which of the following file types you will use to provide your list. If you choose to use a type or layout other than what is suggested, please be sure to specify its type and complete layout.

**ASCII Fixed-field:** Please use the suggested file layout provided on the next page.

**Comma-delimited:** Please use a blank space for any missing data elements and use the data order and codes in the suggested file layout provided on the next page.

**Excel spreadsheets:** Please properly label all columns and use the order and codes in the suggested file layout provided on the next page.



**The 2004 National Postsecondary Student Aid Study**  
**(NPSAS:04)**

**Other (e.g., paper list):** Please specify type and layout of your list (use additional pages if necessary):

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**6. Special Comments:** In the space provided below, please tell us about any of the requested data items that you cannot provide. Also, please provide any additional details that would clarify the layout of the student list you are submitting, as well as any information necessary to correctly interpret the information provided (e.g., educational level, abbreviations, codes, etc.).

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## The 2004 National Postsecondary Student Aid Study (NPSAS:04)

Student List File Specifications			
Student data element	Code	Starting column	Ending column
1. First name		1	25
2. Middle initial		26	26
3. Last name		27	51
4. Name suffix (e.g., Jr., Sr., III, etc.)		52	54
5. Student ID		55	66
6. Social Security number		67	75
7. Educational level	U = Undergraduate student M = Master's student D = Doctoral student G = Other graduate student P = First-professional student <sup>1</sup>	76	76
8. First-time beginner <sup>2</sup>	Y = First-time beginner N = Not a first-time beginner X = Unknown beginner status	77	77
9. Local address 1		78	127
10. Local address 2		128	177
11. Local city		178	227
12. Local state		228	229
13. Local ZIP code		230	238
14. Local telephone number		239	248
15. Campus e-mail		249	298
16. Permanent address 1		299	348
17. Permanent address 2		349	398
18. Permanent city		399	448
19. Permanent state		449	450
20. Permanent country (if not U.S.)		451	500
21. Permanent ZIP code <sup>3</sup>		501	510
22. Permanent telephone number <sup>3</sup>		511	535
23. Permanent e-mail		536	585

<sup>1</sup> A *first-professional* student is a student enrolled in any of the following degree programs: chiropractic (D.C. or D.C.M.); osteopathic medicine (D.O.); dentistry (D.D.S. or D.M.D.); pharmacy (Pharm.D.); law (L.L.B. or J.D.); podiatry (D.P.M., D.P., or Pod.D.); medicine (M.D.); theology (M.Div., M.H.L., B.D., or Ordination); optometry (O.D.); or veterinary medicine (D.V.M.).

<sup>2</sup> A *first-time beginning* student is defined as a student satisfying all of the following conditions: (a) had no transfer credits from another postsecondary institution. If you are unable to determine transfer credits, you may ignore transfer credits when identifying your first-time beginning students and (b) first term of enrollment at this institution was between July 1, 2003, and April 30, 2004, or has not completed a postsecondary class prior to July 1, 2003; (c) was an undergraduate between July 1, 2003, and April 30, 2004; (d) was freshman or first-year student between July 1, 2003, and April 30, 2004.

<sup>3</sup> The field length for permanent ZIP code and telephone number allows for international ZIP codes and telephone numbers, respectively.



## The 2004 National Postsecondary Student Aid Study (NPSAS:04)

### TRANSMITTAL OPTIONS FOR THE LIST OF STUDENTS ENROLLED

**Please submit your list after January 2004  
within 2 weeks following  
the beginning of the last term at your institution  
that begins on or before April 30, 2004.**

This document specifies the different file delivery options you can use to submit the requested *list of students enrolled* for your institution. **We strongly encourage you to send us your list as an electronic file.** However, if you are unable to provide an electronic file, we will accept paper lists as a last resort. Please note that information regarding the eligibility definitions and the needed data items can be found in the documents: *Guidance for Preparing the List of Students Enrolled*, *Contact Information and File Layout for Creating the List of Students Enrolled*, and *Frequently Asked Questions (FAQs)*.

Please select one of the following four transmittal options that is most appropriate for your institution. Regardless of the option you select, please also complete and transmit the *Contact Information and File Layout for Creating the List of Students Enrolled* document to provide information about the list(s) you will submit. Should you use a different file layout other than what we have suggested, please provide details of your file layout.

#### **I. Upload to the 2004 NSoFaS Web Site**

You may upload your files directly to the web site for NSoFaS, located at: <https://surveys.nces.ed.gov/nsofas2004/>. After login, simply click on "Upload List of Students Enrolled" and follow the instructions on the screen. You will be instructed to provide the following information:

- Institution name and IPEDS UNITID;
- Contact information for the person who prepares the list; and
- File layout.

#### **II. Electronic Mail (e-mail to [studentlist@rti.org](mailto:studentlist@rti.org))**

You may choose to send your student list as an attachment via electronic mail. In this case, please send your e-mail to RTI at [studentlist@rti.org](mailto:studentlist@rti.org). Please be sure to separately transmit your completed electronic copy of the *Contact Information and File Layout* document for the list that you will be submitting. (See the *Contact Information and File Layout* document for modes to transmit that document.) **Please do not send questions to this address.**



## The 2004 National Postsecondary Student Aid Study (NPSAS:04)

### III. Diskette, Zip Disk, or CD-ROM

You may write your student list to diskette, Zip disk, or CD-ROM and mail it to RTI using the enclosed Federal Express airbill, along with a completed copy of the *Contact Information and File Layout* document for each list. Please identify all materials (diskette, Zip Disk, CD-ROM, and file layout) that you send to RTI with the IPEDS UNITID for your institution.

### IV. Paper List

If possible, we would greatly appreciate it if you did not use this option. However, if you cannot provide an electronic list of your students, paper lists may be mailed to RTI using the enclosed Federal Express airbill. Please identify each list and file layout document that you send to RTI with the IPEDS UNITID for your institution. See the following page for Instructions for completing the airbill.

If you need assistance, please call the NSoFaS Help Desk at: 1-866-NSOFAS4 (1-866-676-3274).



## The 2004 National Postsecondary Student Aid Study (NPSAS:04)

When sending a diskette, Zip disk, CD-ROM, or hard copy of the *list of students enrolled*, use the standard Federal Express airbill enclosed in the pocket at the end of this binder. Follow the instructions below.

**ITEM 1:**

Fill in Date, Sender's Name, Phone, Company, Address, City, State, ZIP Code.

**ITEM 2:**

Your Internal Billing Reference Information will **08407.200.310** for the *list of students enrolled*.

**ITEM 3:**

ON AIRBILL	TO BE ENTERED
Recipient's Name:	Linda Rattelade
Phone:	(919) 541-8984
Company	RTI International
Address	1000 Parliament Ct., Suite 100
City	Durham
State:	NC
ZIP Code	27703-8464

**ITEM 4a:**

Please mark FedEx Priority Overnight.

**ITEM 5:**

Indicate the type of package/letter you are shipping.

**ITEM 7:**

Please check Third Party and use FedEx Account No. **159621286**.