INSTRUCTIONS
FOR THE NSF-NIH SURVEY OF GRADUATE STUDENTS AND POSTDOCTORATES IN SCIENCE AND ENGINEERING, FALL 1999

PURPOSE OF THE SURVEY
The survey provides a comprehensive picture of the training of future scientists and engineers in the Nation’s graduate schools. Data are used by Congress and the executive branch during budget preparation, and by state government agencies and other analysts to assess the future supply of science and engineering (S&E) personnel.

This information is solicited under the authority of the National Science Foundation Act of 1950, as amended. All information provided will be used for statistical purposes only. Response is entirely voluntary and failure to provide some or all of the information will in no way adversely affect your institution.

The average time required for questionnaire completion is 2 hours. Response burden comments should be directed to Suzanne Plimpton at (703) 306-1125, ext. 2017.

Students Included in This Survey
Count as graduate students persons enrolled for credit in any S&E master’s or Ph.D. degree program in fall 1999. Report M.D., D.O., D.V.M., or D.D.S. candidates, interns, and residents in items 5 through 7 only if they are concurrently working for an S&E master’s or Ph.D. degree or are enrolled in a joint medical/Ph.D. program. Individuals who already hold graduate or medical degrees and are working on another master’s or Ph.D. degree are considered graduate students (items 5 through 7), not postdoctorates (item 8).

Include S&E students performing thesis or dissertation research away from the campus (for example, at Government- and contractor-owned facilities) in the United States as long as they are enrolled for credit in an advanced-degree program.

All data should be reported in terms of headcounts, not full-time equivalents (FTEs).

Students Excluded From This Survey
Exclude students enrolled in a foreign country (at a branch or extension center), and non-matriculated students.

Students Enrolled in Multiple Departments/Institutions
A student should be reported in only one department. Students enrolled in interdisciplinary/interinstitutional programs should be counted only once, by their “home” department and institution.

INCOMPLETE DATA
Please write “unavailable” or “unknown” in data cells as applicable. On this form, “N/A” means “not applicable.” Data cells left blank are presumed to be zeroes.

ITEM 5: FULL-TIME STUDENTS
Report the total number of full-time degree-seeking students in line (6), column (M). Then, in lines (1) through (6), count each full-time student only once by largest source of support so that all columns and rows in item 5 sum to the full-time total in line (6), column (M). In item 5, count only graduate students pursuing an S&E degree according to a full-time schedule; this may include any combination of study, teaching, and research, depending on your institution’s policy and definition of full-time status. For example, many institutions base full-time status on the number of credit hours taken; others calculate full-time according to the amount of fees paid by the student.

Mechanisms of Support—Lines (1) Through (5)
A fellowship, line (1), is any competitive award (often from a national competition) made to a student that requires no work of the recipient. A traineeship, line (2), is an educational award given to a student selected by the institution. An assistantship should be classified as research, line (3), or teaching, line (4), depending on assigned duties; e.g., a student devoting most of his or her time to teaching should be reported on line (4). All other full-time students, including members of the Armed Forces whose tuition is paid by the Department of Defense, and self-supported students, should be reported on line (5).

Federal Sources of Support—Columns (A) Through (H)
Department of Defense (DoD)—Column (A): Columns (B) and (C): Report students with support from the departments of the Army, Navy, or Air Force, as well as programs within the Office of the Secretary of Defense. Students receiving their main support from the Veterans Administration under the G.I. Bill should be reported under column (H), “Other Federal sources.”

Department of Health and Human Services (HHS)—Columns (B) and (C): Report students with support from the institutes or divisions of the National Institutes of Health (NIH) under column (B); report support from all other components of HHS in column (C). Refer to the organizational roster under “Definitions.”

National Science Foundation (NSF)—Column (D): Report students receiving NSF graduate fellowships, as well as those supported under NSF research grants.

U.S. Department of Agriculture (USDA)—Column (E): Include research assistants working on projects financed out of Hatch, McIntyre-Stennis, or Smith-Lever formula funds, competitive research grants, and institution fellowship/training grants.

National Aeronautics and Space Administration (NASA)—Column (F): Report students with support from this agency.

Department of Energy (DOE)—Column (G): Report students receiving support under DOE research grants, including those supported by grants at national laboratories.

Other Federal Sources—Column (H): Report students receiving support from Federal agencies other than those listed in columns (A) through (G), such as the Fulbright program, the G.I. Bill, and Department of Education programs. Students primarily supported by Federal loans should be reported in column (L), “Self-supported students.”

Non-Federal Sources of Support—Cols. (I) Through (L)
Institutional support—Column (I): Report students supported from your institution, including those receiving tuition waivers. State and local government support should also be reported in this column. Students primarily supported with funds from the Federal Government, such as training grants, however, should be reported under the appropriate Federal agency.

Foreign sources—Column (J): Report students supported from any non-U.S. source, such as foreign governments, industrial firms, or specialized agencies of the United Nations.

Other U.S. sources—Column (K): Report students supported from nonprofit institutions, private industry, and all other non-Federal U.S. sources not included in columns (I) or (J).

Self-supported students—Column (L): Report both foreign and U.S. citizen students whose largest source of support comes from ANY loans (including Federal loans) or from personal or family financial contributions. These students must be included in the full-time total, line (6), column (M).

Women—Line (7)
Report all full-time female students by the source of their primary support. The total number of full-time women should be reported in line (7), column (M).

In each column, data on line (7) should not exceed the total on line (6).

ITEM 6: PART-TIME STUDENTS
Report all part-time students in item 6, regardless of their source of support, by racial/ethnic category (see instructions for item 7). Part-time students are pursuing an S&E graduate degree but NOT on a full-time schedule. Consider students part-time according to your own institution’s definition of part-time status.
ITEM 8: POSTDOCTORATES AND NONFACULTY RESEARCH STAFF WITH DOCTORATES

Postdoctorates—Columns (A) through (F): Include individuals with science and engineering Ph.D.’s, M.D.’s, D.D.S.’s, or D.V.M.’s (including foreign degrees equivalent to U.S. doctorates) who devote their primary effort to their own research training through research activities or study in the department under temporary appointments carrying no academic rank. These individuals may contribute to the academic program through seminars, lectures, or working with graduate students. Such postdoctorates may have different titles at different institutions, e.g., “Postdoctoral Scholar,” “Research Associate,” “Postdoctoral Fellow,” or “Postgraduate Researcher.” Exclude, however, clinical fellows and those with appointments in residency training programs in medical and health professions, unless research training under the supervision of a senior mentor is the primary purpose of the appointment.

Report postdoctorates by source of support in columns (A) through (D), with the total number of postdoctorates reported in column (E). Of this total, report the number who are foreign in column (F).

Other non-faculty research staff with doctorates—Column (G): Include all doctoral scientists and engineers who are involved principally in research activities but are not considered either postdoctoral appointees or members of the regular faculty.

On line (2), report the number of women in each category. On line (3), report those postdoctorates and nonfaculty research staff who hold first professional medical degrees (M.D., D.O., D.D.S., D.V.M.). Please note that in each column, data on lines (2) and (3) should not exceed the total on line (1).

DEFINITIONS

(1) NATIONAL INSTITUTES OF HEALTH ORGANIZATIONAL ROSTER

—Item 5, column (B)

Fogarty International Center
National Cancer Institute
National Center for Human Genome Research
National Center for Nursing Research
National Center for Research Resources
National Eye Institute
National Heart, Lung, and Blood Institute
National Institute of Arthritis and Musculoskeletal and Skin Diseases
National Institute of Child Health and Human Development
National Institute of Dental Research
National Institute of Diabetes and Digestive and Kidney Diseases
National Institute of Environmental Health Sciences
National Institute of General Medical Sciences

(2) OTHER HHS ADMINISTRATIVE UNITS

—Item 5, column (C)

Substance Abuse and Mental Health Services Administration
(Please note that the former Alcohol, Drug Abuse and Mental Health Administration institutes are now part of the National Institutes of Health.)
Centers for Disease Control and Prevention
National Institute for Occupational Safety and Health
Food and Drug Administration
Health Resources and Services Administration

(3) RACIAL/ETHNIC CATEGORIES FOR U.S. CITIZENS AND PERMANENT RESIDENTS DEFINED BY THE OFFICE OF MANAGEMENT AND BUDGET

—Item 7

Black or African American: A person having origins in any of the black racial groups of Africa.

American Indian or Alaska Native: A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

Asian American: A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent; for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Samoa, Thailand, and Vietnam.

Native Hawaiian or Other Pacific Islander: A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific islands.

White: A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

Hispanic or Latino: A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

More Than One Race Reported: Students reporting two or more of the race/ethnicity categories above.

FOR FURTHER INFORMATION . . .

If you have any questions about this survey, please contact Ms. Brandy McLachlan or Mr. Dan Tran of Quantum Research Corporation by telephone at (301) 657-3077, ext. 157 or 313, respectively, or by email at gss@qrc.com.

UPON COMPLETING THIS FORM, PLEASE RETURN IT TO YOUR SURVEY COORDINATOR FOR TRANSMITTAL BY JANUARY 31, 2000.
**ITEMS 1-4. IDENTIFYING INFORMATION**

1. Institution name: 

2. Name of S&E department or program:

   If changed since last year, please indicate previous name and whether this represents a merger, split, or expanded program:

3. Person in department or program preparing this form:

   Name: 

   Title: 

   Phone: (___)__________________________

   E-mail address: 

4. Highest graduate degree available in this department or program (CHECK ONE):

   (1) Ph.D.  
   (2) Master's  
   (3) No Ph.D. or Master's degree offered

**ITEM 5. NUMBER OF FULL-TIME GRADUATE STUDENTS** enrolled for advanced degrees (master's and doctoral) in fall 1999. Report each student only once according to the source and mechanism of the largest amount of support received in fall 1999.

Students receiving equal support from multiple sources or through multiple mechanisms should be reported only once. When determining the largest source of support, consider all graduate school academic expenses including tuition, tuition remission, and stipends.

Students receiving equal support from multiple sources or through multiple mechanisms should be reported only once. When determining the largest source of support, consider all graduate school academic expenses including tuition, tuition remission, and stipends.

**STUDENTS RECEIVING FINANCIAL ASSISTANCE**

<table>
<thead>
<tr>
<th>MECHANISMS OF SUPPORT</th>
<th>FEDERAL SOURCES (excluding loans)</th>
<th>NON-FEDERAL SOURCES</th>
<th>SELF-SUPPORTED STUDENTS (including loans and family sources)</th>
<th>TOTAL FULL-TIME GRADUATE ENROLLMENT (Sum of (A) through (L))</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>HHS</td>
<td>Institutional support (including state &amp; local government)</td>
<td>Foreign sources</td>
<td>Other U.S. sources</td>
</tr>
<tr>
<td>Department of Defense (A)</td>
<td>National Institutes of Health (B)</td>
<td>(F)</td>
<td>(J)</td>
<td>(K)</td>
</tr>
<tr>
<td></td>
<td>Other HHS (C)</td>
<td>Department of Agriculture (E)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>National Science Foundation (D)</td>
<td>NASA (F)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Department of Energy (G)</td>
<td>Department of Other Federal sources (H)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(G)</td>
<td>(I)</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Other Federal sources (H)</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td>(I)</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Foreign sources</td>
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<td></td>
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<td></td>
<td></td>
<td>(J)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Other U.S. sources</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>(K)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LINE</td>
<td></td>
<td>TOTAL</td>
<td>TOTAL</td>
<td>TOTAL</td>
</tr>
<tr>
<td>Line</td>
<td></td>
<td>FULL-TIME TOTAL</td>
<td>TOTAL</td>
<td>TOTAL</td>
</tr>
<tr>
<td>Graduate Fellowships</td>
<td>(1)</td>
<td>(1)</td>
<td>(1)</td>
<td></td>
</tr>
<tr>
<td>Graduate Traineeships</td>
<td>(2)</td>
<td>(2)</td>
<td>(2)</td>
<td></td>
</tr>
<tr>
<td>Graduate Research Assistantships</td>
<td>(3)</td>
<td>(3)</td>
<td>(3)</td>
<td></td>
</tr>
<tr>
<td>Graduate Teaching Assistantships</td>
<td>(4)</td>
<td>(4)</td>
<td>(4)</td>
<td></td>
</tr>
<tr>
<td>Other Types of Support</td>
<td>(5)</td>
<td>(5)</td>
<td>(5)</td>
<td></td>
</tr>
<tr>
<td>FULL-TIME TOTAL²</td>
<td>(6)</td>
<td>(6)</td>
<td>(6)</td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL**

1. Or Ph.D. equivalent such as Sc.D. and D.Eng., but not Ed.D., M.D., or other professional degree
2. The total from line (6) should be inserted in item 7, line (3), column (K).
3. The total from line (7) should be inserted in item 7, line (2), column (K).
ITEM 6. RACE/ETHNICITY of PART-TIME graduate students in fall 1999, by sex.

<table>
<thead>
<tr>
<th></th>
<th>U.S. CITIZENS AND PERMANENT RESIDENTS</th>
<th>FOREIGN</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>ONE RACE ONLY: Non-Hispanic/Latino</td>
<td>TOTAL</td>
</tr>
<tr>
<td></td>
<td>ONE RACE ONLY</td>
<td>MORE THAN ONE RACE</td>
</tr>
<tr>
<td></td>
<td>Black/ African American</td>
<td>Amer. Indian or Alaska Native</td>
</tr>
<tr>
<td>MEN ENROLLED PART TIME</td>
<td>(1)</td>
<td></td>
</tr>
<tr>
<td>WOMEN ENROLLED PART TIME</td>
<td>(2)</td>
<td></td>
</tr>
<tr>
<td>PART TIME, TOTAL</td>
<td>(3)</td>
<td></td>
</tr>
</tbody>
</table>

ITEM 7. RACE/ETHNICITY of FULL-TIME (Item 5) graduate students in fall 1999, by sex.

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>MEN ENROLLED FULL TIME</td>
<td>(1)</td>
<td></td>
</tr>
<tr>
<td>WOMEN ENROLLED FULL TIME</td>
<td>(2)</td>
<td></td>
</tr>
<tr>
<td>FULL TIME, TOTAL (column (K) should equal Item 5, line (7), column (M))</td>
<td>(3)</td>
<td></td>
</tr>
<tr>
<td>Of the full-time students on line (3), how many are FIRST TIME?</td>
<td>(4)</td>
<td></td>
</tr>
<tr>
<td>Of the first-time students on line (4), how many are WOMEN?</td>
<td>(5)</td>
<td></td>
</tr>
</tbody>
</table>

ITEM 8. NUMBER OF POSTDOCTORATES AND NON-FACULTY RESEARCH STAFF WITH DOCTORATES in fall 1999.

<table>
<thead>
<tr>
<th></th>
<th>POSTDOCTORATES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>SOURCE OF SUPPORT</td>
</tr>
<tr>
<td></td>
<td>FEDERAL</td>
</tr>
<tr>
<td></td>
<td>Fellowships (A)</td>
</tr>
<tr>
<td>TOTAL</td>
<td>(1)</td>
</tr>
<tr>
<td>Of the total in each cell of line (1), how many are WOMEN?</td>
<td>(2)</td>
</tr>
<tr>
<td>Of the total in each cell of line (1), how many hold an M.D., D.O., D.D.S., or D.V.M. degree?</td>
<td>(3)</td>
</tr>
</tbody>
</table>

Approximately how many person hours were required to complete this form? 

List other Federal sources (agencies), from item 5, column (H), and number of full-time students supported by each: 

Please explain variances from the previous year's data or include other comments: 

This questionnaire has been printed on recycled paper.