

STRONG FOUNDATIONS

The State of State Postsecondary Data Systems

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APPENDICES

Appendix A: Methodology

This descriptive study was designed to increase the overall knowledge base of state postsecondary SUR systems. Further, its aim was to delve deeper into areas of existing knowledge and explore new areas where the research was limited or absent.

The State Higher Education Executive Officers (SHEEO) used web searches, an online data collection instrument (also available in paper format), e-mail, and phone interviews to gather the information necessary to achieve the goals of the study.

Research question and units of analysis

The study's main research question is: *What are the characteristics, functions, and uses of state-level SUR systems at the postsecondary level across the country?* The units of analysis are state boards of higher education and other state agencies/entities with responsibility for collecting postsecondary data at the unit record level.

Identification and selection of study population

Between February and May 2009, SHEEO conducted web searches and sent e-mail requests to the appropriate persons to determine which agencies/entities had postsecondary data systems with SUR-level data. SHEEO identified 92 agencies/entities that fit this description, representing state boards of higher education (representing both 2- and 4-year sectors), state boards of education, state financial aid agencies/entities, state budget agencies, and state labor/workforce agencies.

SHEEO invited 60 of the 92 identified agencies/entities to participate in the study. Selection was based on SHEEO membership, institutional coverage, undergraduate enrollment percentages, and consideration of the time required to meet contract deadlines.²³

Design of data collection instrument

Several activities informed the design of the data collection instrument:

Table 14: Open-ended questions modified to facilitate data analysis

Original open-ended question	Modified question options
Who has authority to change data elements and definitions?	<ul style="list-style-type: none"> ▶ Agency/entity staff ▶ Group that includes institutional/campus personnel ▶ Legislature ▶ Other agency/entity
Which agencies/entities contribute data to the P-20 warehouse?	<ul style="list-style-type: none"> ▶ Agency/entity within governor's office ▶ State education agency (K–12) ▶ Higher education coordinating board(s) ▶ Higher education governing board(s) ▶ State labor/workforce agency ▶ Other state agency/entity/program
Which agency/entity has primary responsibility for managing the P-20 warehouse?	<ul style="list-style-type: none"> ▶ Same as directly above
Which agency/entity has primary responsibility for hosting the P-20 warehouse?	<ul style="list-style-type: none"> ▶ Same as directly above
What office/division is responsible for entering data?	<ul style="list-style-type: none"> ▶ n/a ▶ Office/division within agency/entity ▶ Appropriate institutional/campus personnel ▶ Other group
What office/division is responsible for checking/verifying data?	<ul style="list-style-type: none"> ▶ Same as directly above

²³ Even though many of the invited agencies/entities collect data from both 2- and 4-year public institutions, several states have a separate agency/entity for the 2-year sector. The omission of these separate agencies/entities is not intended to indicate that the invited agency/entity fully represents the range of data collected in the separate sector.

- ▶ Communication with NCHEMS staff members following a detailed review of the 2006 NCHEMS instrument;
- ▶ Communication with Data Quality Campaign staff members following a detailed review of the 2008 DQC annual survey;
- ▶ Feedback from four meetings that took place between December 2008 and April 2009 with over 100 colleagues asked to serve on SHEEO's *State Data System Expert Advisory Panels* to provide advice on the characteristics and functionality of ideal state postsecondary data systems;
- ▶ April and June 2009 communications with a metadata expert at the Florida Department of Education;
- ▶ May 2009 pilot with respondents from the North Carolina Community College System, South Carolina Commission on Higher Education, State Council of Higher Education for Virginia, and the Utah State Board of Regents;
- ▶ May 2009 presentation of the data collection instrument at the SHEEO/NCES Data Conference in New Orleans, Louisiana;
- ▶ May 2009 presentation of the data collection instrument to the SHEEO/NCES Network Steering Committee; and
- ▶ June 2009 feedback from RTI International staff members with responsibility for postsecondary studies.

The final data collection instrument was organized into seven sections:

- ▶ Background Information;
- ▶ Data Collected, Data Elements, and Metadata;
- ▶ Using Student Unit Record Data;
- ▶ Linking Postsecondary Student Unit Record System Data to Other Systems;
- ▶ Mechanisms to Ensure Data Quality;
- ▶ Sustaining Student Unit Record Systems; and
- ▶ Suggestions for Improvement (optional).

Appendix B contains the final data collection instrument. Many multiple-choice questions were designed to allow more than one selection.

Tools and software used in data collection and analysis

SHEEO used Question Pro software as the primary data collection instrument. This software contained all the functionality sought for this study, featuring advanced logic, file upload, and *Microsoft Excel* data download options. E-mail and phone communication were the primary means of following up. SHEEO used *Microsoft Excel* for data analysis.

Data collection was divided into two phases. The data collection instrument was used in the first phase. For the second phase, respondents were asked to select data element definition sources for 12 data elements and identify whether their SUR system contained an additional 30 elements. SHEEO compiled the original list of elements from the 2003 Lumina study (Ewell et al 2003) and from its own analysis of additional elements of interest. SHEEO's *State Data System Expert Advisory Panels* assisted in finalizing the data elements selected for this phase.

Response rate

Out of the 60 invitees, 59 responded to the first phase, corresponding to a 98 percent response rate. There was an 80 percent response rate for the second phase; 47 of the 59 invitees participated. **Appendix C** lists the responding agencies/entities and respondent names.

All responding agencies/entities were given an opportunity to review responses prior to publication of this report. About 20 agencies/entities submitted modifications to their original response.

Data analysis

The nature of the study and the design of the data collection instrument limit interpretation of the responses to qualitative, rather than quantitative descriptive analyses.

SHEEO designed many multiple-choice questions in order to highlight certain features of state postsecondary data systems within the report. For example, in the question asking the reasons why the agency/entity SUR was established, SHEEO offered respondents 12 reasons,²⁴ but this list was not meant to be exhaustive. SHEEO is fully aware that agencies/entities may have reasons beyond the options provided; some indicated these other reasons in the open-ended portions of each question.

The data collection instrument contained both open-ended and multiple-choice questions. SHEEO performed a content analysis of six open-ended questions; responses were subsequently recoded into specific question options to facilitate data analysis (see **Table 14**).

Additionally, SHEEO recoded responses to certain multiple-choice questions that required specification of an “other” category. For example, for the question asking how often the agency/entity provides professional development training to institutional research personnel, appropriate responses in the “other frequency” were standardized as follows:

- ▶ “As changes are made and/or specific requests are received” and “When personnel turn over or when a data quality problem emerges” were recoded as “as needed”; and
- ▶ Responses such as “training is scheduled throughout the year” were recoded as “ongoing.”

For the analysis portion in the report, data element responses from both the first and second phases were combined into one spreadsheet. In some cases, responses from the first phase were used to populate unavailable responses from the second phase. For example, if respondents indicated in the first phase that Social Security Number (SSN) was an internal primary key, this response was reflected appropriately within the instrument used in the second phase. This revised spreadsheet was one of the sources used for the content analysis. In addition, SHEEO sent informal requests to all respondents to provide examples of either ad-hoc or formal reports, analytical studies, or other documents generated from student unit record (SUR) data that highlight the utility of those data and that have helped state agendas move forward. Together, these sources yielded the data element lists featured in Table 12 and Table 13. Appendix D contains the final data element list.

Study limitations

More study on the Integrated Postsecondary Education Data System (IPEDS) is needed to fully understand the relationship between postsecondary agencies/entities and the respective institutions they coordinate or govern. The categories in the data collection instrument on IPEDS verification and reporting did not fully capture the essence of these relationships. Specifically, some state agencies/entities were not involved in either category, but did assist institutions with various IPEDS surveys.

²⁴ Legislative compliance, audit compliance, institutional resource allocation/funding formula, awarding financial aid, IPEDS reporting, increasing student achievement, tracking student retention/graduation, tracking students across institutions, federal civil rights compliance, other federal mandates, and other reason.

Appendix B: Final Data Collection Instrument

SECTION ONE: BACKGROUND INFORMATION

Agency/Entity Information

- 1 What is the **name** of your agency/entity's student unit record system? *Please spell out or indicate N/A.*
- 2 **When** was your agency/entity's student unit record system first established? *Please indicate **four-digit** year.*
- 3 **Why** was your agency/entity's student unit record system originally established? *Select all that apply.*

Legislative mandate	Tracking student retention/graduation
Audit compliance	Tracking students across institutions
Institutional resource allocation/funding formula	Federal civil rights mandates
Awarding financial aid	Other federal mandates
IPEDS reporting	Other reason, please specify:
Increasing student achievement	

Please identify the **other federal mandates** selected in the previous question.

- 4 What **legal authority** assigns your agency/entity data collection and reporting responsibilities? *Select all that apply.*

n/a – data collection occurs on a voluntary basis	Coordinating or governing board policy interpreting state law(s)
State law creating coordinating or governing board	Coordinating or governing board policy interpreting executive branch mandate
State law creating data system	Memorandum of understanding
State law requiring the collection of student unit record data	Attorney general opinion/statement
Executive branch mandate	Other legal authority, please specify:
Administrative regulations/rules issued to interpret state law(s)	

Please provide the citation for **each legal authority selected**, including the URL where applicable:

- 5 Feel free to comment on the questions or your responses in SECTION ONE: BACKGROUND INFORMATION

SECTION TWO: DATA COLLECTED, DATA ELEMENTS, AND METADATA

Institutional Coverage

- 6 Please select the **types of postsecondary institutions** from which your agency/entity currently collects student unit record data. *Select all that apply.*

n/a	Proprietary (private, for-profit)
2-year public	Tribal
4-year public	Other institution type, please specify:
Independent (private, non-profit)	

- 7 **Within the next two years**, does your agency/entity plan to expand the institutional coverage of student unit data in your state?

No
Yes

- 8 Please select which types of postsecondary institutions your state plans to include. *Select all that apply.*

n/a	Proprietary (private, for-profit)
2-year public	Tribal
4-year public	Other institution type, please specify:
Independent (private, non-profit)	

9 What role does your agency/entity play with regard to institutional **IPEDS verification**? *Select all that apply.*

- n/a
- Coordinator
- Keyholder
- Other role, please specify:

10 What role does your agency/entity play with regard to institutional **IPEDS reporting**? *Select all that apply.*

- n/a
- Coordinator
- Keyholder
- Other role, please specify:

11 Please select the IPEDS surveys your agency/entity **verifies or reviews** on behalf of the institutions in your state. *Select all that apply.*

- | | |
|---|---|
| <ul style="list-style-type: none"> n/a Institutional Characteristics (IC) 12-month Enrollment (E12) Completions (C) Human Resources (Employees by Assigned Position (EAP), Fall Staff (S), and Salaries (SA)) | <ul style="list-style-type: none"> Fall Enrollment (EF) Graduation Rate (GRS) Finance (F) Student Financial Aid (SFA) Other, please specify: |
|---|---|

Data Collected

12 What **types of data** are included in your agency/entity's student unit record system? *Select all that apply.*

- | | |
|--|---|
| <ul style="list-style-type: none"> K-12 academic history (high school, admissions test scores) Postsecondary academic history (placement test scores, transfer) Demographic Postsecondary enrollment Course-level information Finance (tuition, fees, fiscal management) Financial aid Completions | <ul style="list-style-type: none"> Non-credit instructional activity Academic program inventory Faculty/staff Institutional characteristics Facilities/capital projects Adult Basic Education (GED, Adult Basic Education, English as a Second Language) Labor/workforce/Unemployment Insurance Other type of data, please specify: |
|--|---|

13 Which of the following **non-credit instructional activities** are contained in your agency/entity's student unit record system. *Select all that apply.*

- Pre-college courses (remedial, developmental)
- Continuing education courses
- Other, please specify:

14 Please indicate if any of the types of data selected above are located **separately** from the main student unit record database.

- | | |
|---|--|
| <ul style="list-style-type: none"> n/a K-12 academic history (high school, admissions test scores) Postsecondary academic history (placement test scores, transfer) Demographic Postsecondary enrollment Course-level information Finance (tuition, fees, fiscal management) Financial aid Completions | <ul style="list-style-type: none"> Non-credit instructional activity Academic program inventory Faculty/staff Institutional characteristics Facilities/capital projects Adult Basic Education (GED, Adult Basic Education, English as a Second Language) Labor/workforce/Unemployment Insurance Other type of data |
|---|--|

15 When are the following types of data collected? *Select all that apply.*

Type of data	Census Date	End of Term	Annual	Other collection period
K-12 academic history (<i>high school, admissions test scores</i>)				
Postsecondary academic history (<i>placement test scores, transfer</i>)				
Demographic				
Postsecondary enrollment				
Course-level information				
Finance (<i>tuition, fees, fiscal management</i>)				
Financial aid				
Completions				
Non-credit instructional activity				
Academic program inventory				
Faculty/staff				
Institutional characteristics				
Facilities/capital projects				
Adult Basic Education (<i>GED, Adult Basic Education, English as a Second Language</i>)				
Labor/workforce/Unemployment Insurance				
Other type of data				

Please identify the **other collection period** selected in the previous question for the following type of data.

Data Elements

16 Who has authority to change data elements and definitions?

17 Which of the following **sources** does your agency/entity use to define data elements? *Select all that apply.*

- IPEDS
- U.S. Census
- SPEEDE/EXPRESS
- Agency staff/workgroup
- Other, please specify:

18 What is your agency/entity's **internal primary key** to build longitudinal records within your student unit record system? *Select all that apply.*

- Social Security Number
- K-12 student identifier
- Statewide student identifier
- Internally generated student identifier
- Other, please specify:

19 Does your agency/entity have any plans to discontinue use of the Social Security Number as an **internal primary key**?

- No
- Yes

Metadata – Documents and Procedures Supporting and Governing the Use of Student Unit Record Systems

20 Does your agency/entity have metadata beyond a data element dictionary?

- No
- Yes

21 What **types of metadata** does your agency/entity currently maintain? Select all that apply.

- Business procedures (*data element dictionary, data submission/reporting procedure, data certification forms*)
- Technical procedures (*data validation mechanism, data audit mechanism, statistical checks*)
- Other, please specify:

22 What types of **business procedures** does your agency/entity currently maintain? *Select all that apply.*

- Data element dictionary (*data element characteristics, file formats layouts*)
- Data submission/reporting procedure
- Data certification forms
- Other, please specify:

23 What types of **technical procedures** does your agency/entity currently maintain? Select all that apply.

- Data validation/data checking procedure (*to increase reliability of data*)
- Data audit procedure (*to increase validity of data*)
- Statistical mechanisms used to alert institutional user of successful or unsuccessful data validation
- Statistical mechanisms used to alert institutional user of successful or unsuccessful data audit
- Other, please specify:

24 Feel free to comment on the questions or your responses in SECTION TWO: DATA COLLECTED, DATA ELEMENTS, AND METADATA

SECTION THREE: USING STUDENT UNIT RECORD SYSTEM DATA

Data Use/Purposes

25 For what **purpose(s)** does your agency/entity currently use student unit record data? *Select all that apply.*

- | | |
|---|--|
| Decision-/policymaking | Research |
| Generating reports and statistics (internal and external) | Cross-sector collaboration (k-12, labor, etc.) |
| Consumer information for prospective students | Other purpose, please specify: |

26 How does your agency/entity **present** the data collected? Select all that apply.

- n/a
- In the aggregate to a wide audience
- At the unit record level to appropriate stakeholders
- Other, please specify:

27 What types of reports does your agency/entity routinely generate to meet formal reporting requirements using the student unit record data collected? *Select all that apply.*

- | | | |
|-------------------------------------|-----------------------------------|--------------------------------|
| Articulation | Facilities utilization | Performance measures |
| Completions | Financial aid | Remediation |
| Course cost analysis | High school feedback | Retention |
| Course taking patterns | Institutional finance | Student learning |
| Distance education | Institutional profile, public | Transfer |
| Dual credit/dual enrollment | Institutional profile, private | Tuition/fees/college costs |
| Economic impact/jobs | Mobility/migration | Other reports, please specify: |
| Enrollment (age, gender, ethnicity) | Non-credit instructional activity | |

28 What types of institutions are included in each formal report selected in the previous question? *Select all that apply*

	n/a	2-yr public	4-yr public	Independent (private, non-profit)	Proprietary (private, for-profit)	Tribal	Other institution type
Articulation							
Completions							
Course cost analysis							
Course taking patterns							
Distance education							
Dual credit/dual enrollment							
Economic impact/jobs							
Enrollment (age, gender, ethnicity)							
Facilities utilization							
Financial aid							
High school feedback							
Institutional finance							
Institutional profile, public							
Institutional profile, private							
Mobility/migration							
Non-credit instructional activity							
Performance measures							
Remediation							
Retention							
Student learning							
Transfer							
Tuition/fees/college costs							
Other reports							

Please identify the **other institution type** selected in the previous question for the following type of formal report.

29 For which audience(s) does your agency/entity routinely generate the following formal reports using the student unit record data collected? *Select all that apply.*

	Governor's office	Legislature	Coordinating or governing board	K-12 agency, districts, schools	Other state agencies	Federal agencies	General public	Other audience
Articulation								
Completions								
Course cost analysis								
Course taking patterns								
Distance education								
Dual credit/dual enrollment								
Economic impact/jobs								
Enrollment (age, gender, ethnicity)								
Facilities utilization								
Financial aid								
High school feedback								
Institutional finance								
Institutional profile, private								
Institutional profile, public								
Mobility/migration								
Non-credit instructional activity								
Performance measures								
Remediation								
Retention								
Student learning								
Transfer								
Tuition/fees/college costs								
Other reports								

Please identify the **other audience type** selected in the previous question for the following type of report.

30 Feel free to comment on the questions or your responses in SECTION THREE: USING STUDENT UNIT RECORD SYSTEM DATA.

SECTION FOUR: LINKING POSTSECONDARY STUDENT UNIT RECORD SYSTEM DATA TO OTHER SYSTEMS

Existence of State P-20 Data Warehouse

31 Does your state have a P-20 data warehouse?

- No
- Yes

- 32 Which agencies/entities contribute data to the P-20 data warehouse?
- 33 Of the agencies/entities listed above, which has the primary responsibility for managing the warehouse?
Indicate N/A where applicable.

34 What agency/entity **hosts** the P-20 data warehouse?

Your agency/entity
Other agency/entity, please specify:

35 Does your agency/entity **provide** data to this warehouse?

No
Yes

Linking to Other Agencies, States, and External Organizations

36 Does your agency/entity **currently** link to other agencies/entities within your state, other states, or external organizations?

No
Yes

37 Does your agency/entity link to other agencies/entities within your state?

No
Yes

38 With which of the following agencies/entities within your state does your agency/entity currently link? *Select all that apply.*

State financial aid agency/entity
State education agency (K-12)
Labor/workforce
Pre-k/early childhood
Child protective services
Foster care

Health
Human services
Motor vehicle division/dept
Juvenile detention
Corrections
Court system
Other agency/entity, please specify:

39 Which **primary ID number(s)** are used to **match** your agency/entity's student unit record data to unit record data from other agencies/entities within your state? *Select all that apply.*

	Social Security Number	K-12 ID	State ID	Other ID
State financial aid agency/entity				
State education agency (K-12)				
Labor/workforce				
Pre-k/early childhood				
Child protective services				
Foster care				
Health				
Human services				
Motor vehicle division/dept				
Juvenile detention				
Corrections				
Court system				
Other agency/entity				

Please identify the **other ID** selected in the previous question for the following agency/entity within your state.

40 Does your agency/entity collect **demographic data elements** to **match** student unit record data to unit record data from other agencies/entities within your state (e.g., name, date of birth, gender, race/ethnicity, address)?

- No
- Yes

41 Which **demographic data element(s)** are collected to **match** your agency/entity's student unit record data to unit record data from other agencies/entities within your state? *Select all that apply.*

	Name	Date of birth	Gender	Race/ethnicity	Address	Other data element
State financial aid agency/entity						
State education agency (K-12)						
Labor/workforce						
Pre-k/early childhood						
Child protective services						
Foster care						
Health						
Human services						
Motor vehicle division/dept						
Juvenile detention						
Corrections						
Court system						
Other agency/entity						

Please identify the **other data element** selected in the previous question for the following agency/entity within your state.

42 Which **K-12 data elements** does your agency/entity have access to by virtue of the linking arrangements? *Select all that apply.*

- | | |
|--|--|
| Student name | District/school code |
| Student date of birth | Disability status |
| Student gender | Course type (regular, honors, AP, dual credit) |
| Student race/ethnicity | Course title |
| Student resident county-district code | Course grade |
| Date student enrolled | High school grade point average |
| Language spoken at home | Assessment scores |
| Student free and reduced lunch eligibility | Date student graduated |
| | Other K-12 data element, please specify: |

43 Which **labor/workforce data elements** does your agency/entity have access to by virtue of the linking arrangements? *Select all that apply.*

- | | |
|--|--|
| Employee name | Date student/employee applied for unemployment insurance |
| Employee address | Date student/employee received first unemployment insurance |
| Employer ID number | check |
| Employer size; number of employees (monthly) | Other agencies/entities providing student/employee services |
| Employer county | during period individual is in receipt of Unemployment Insurance |
| Wages earned | North American Industry Classification System code |
| Wage type code | North American Industry Classification System title |
| Hours worked | Standard Occupational Classification code |
| Employment quarter code | Standard Occupational Classification title |
| Employment year | Other labor/workforce data element, please specify: |

44 Does your agency/entity link to other states?

- No
- Yes

45 With which other states does your agency/entity **currently** link? Select all that apply.

- | | | |
|----------------------|----------------|----------------|
| Alabama | Kentucky | North Dakota |
| Alaska | Louisiana | Ohio |
| Arizona | Maine | Oklahoma |
| Arkansas | Maryland | Oregon |
| California | Massachusetts | Pennsylvania |
| Colorado | Michigan | Rhode Island |
| Connecticut | Minnesota | South Carolina |
| Delaware | Mississippi | South Dakota |
| District of Columbia | Missouri | Tennessee |
| Florida | Montana | Texas |
| Georgia | Nebraska | Utah |
| Hawai'i | Nevada | Vermont |
| Idaho | New Hampshire | Virginia |
| Illinois | New Jersey | Washington |
| Indiana | New Mexico | West Virginia |
| Iowa | New York | Wisconsin |
| Kansas | North Carolina | Wyoming |

46 Does your agency/entity link to the National Student Clearinghouse?

- No
- Yes

47 Does your agency/entity link to other external organizations (e.g., Southern Regional Education Board, Western Interstate Commission for Higher Education)?

- No
- Yes, please specify:

48 Which of the following **currently** allow your agency/entity to link to other unit record systems? *Select all that apply.*

- | | |
|------------------------------------|---------------------------------------|
| n/a | Memorandum of agreement/understanding |
| Legislative mandate | Administrative rule/regulation |
| Executive mandate | Other, please specify: |
| Attorney general opinion/statement | |

49 *If applicable*, please describe how your agency/entity modified its student unit record system to allow linking to other data systems (e.g., adding new data fields, creating new file structures).

50 Is your agency/entity charged with reporting on **performance measures** that require linking to other state agencies entities?

- No
- Yes, please provide examples:

51 Is your agency/entity **in the process** of linking to any of the following agencies/entities within your state (**do not select based on whether your agency/entity has plans or is thinking about linking to those below**)? *Select all that apply.*

- | | |
|-----------------------------------|--------------------------------------|
| n/a | Health |
| State financial aid agency/entity | Human services |
| State education agency (K-12) | Motor vehicle division/dept |
| Labor/workforce | Juvenile detention |
| Pre-k/early childhood | Corrections |
| Child protective services | Court system |
| Foster care | Other agency/entity, please specify: |

Barriers to Linking

52 Which of the following **barriers** prevent your agency/entity from linking to any unit record systems or further inhibit your agency/entity from linking to other unit record systems? *Select all that apply.*

- | | |
|--|--------------------------------------|
| n/a | Incompatible systems |
| Legislation | Data quality concerns |
| Attorney general opinion/statement | FERPA concerns |
| Resources | Lack of interest from other agencies |
| Lack of common identifiers/crosswalks | Other barrier, please specify: |
| Coordination with other state authorities/administrators | |

53 Please identify which describes the barrier associated with **legislation**:

- Lack of legislation
- Legislation prohibiting linking
- Other legislative barrier, please specify:

54 Please identify which describes the barrier associated with **attorney general opinion/statement**:

- Lack of attorney general opinion/statement
- Attorney general opinion/statement prohibiting linking
- Other attorney general barrier, please specify:

55 Please describe the steps your agency/entity is taking to **facilitate** and/or **minimize** barriers to **linking**. *Indicate N/A if necessary.*

56 Feel free to comment on the questions or your responses in SECTION FOUR: LINKING POSTSECONDARY STUDENT UNIT RECORD SYSTEM DATA TO OTHER SYSTEMS

SECTION FIVE: MECHANISMS TO ENSURE DATA QUALITY

Controls for Data Quality

57 What office/division within or outside your agency/entity is responsible for **entering data** in your agency/entity's student unit record system?

58 What office/division within or outside your agency/entity is responsible for **checking/verifying** data in your agency entity's student unit record system, including institutional data?

59 How does your agency/entity **inform** the appropriate institutional personnel that they must reconcile data submission inconsistencies? *Select all that apply.*

- n/a
- Notification (e.g., email, phone call) from agency/entity staff person
- Web-based data error report
- Other mechanism, please specify:

60 Does your agency/entity conduct **on-site** institutional data verification?

- n/a
- No
- Yes; please specify how often:

61 Does your agency/entity provide professional development training to institutional data personnel?

- n/a
- No
- Yes; please specify if training is mandatory:

62 How often does your agency/entity provide professional development training to institutional data personnel?

Annually
Twice a year
Three times a year
Four times a year

Ongoing
As needed
Other frequency, please specify:

63 Feel free to comment on the questions or your responses in SECTION FIVE: MECHANISMS TO ENSURE DATA QUALITY

SECTION SIX: SUSTAINING STUDENT UNIT RECORD SYSTEMS

Local Support for State Data Systems

64 When was the last time your agency's/entity's data system was significantly upgraded or modified?

Since 2000
Between 1990 and 1999
Prior to 1990

65 Did your agency/entity receive **start up funds** for this upgrade or modification?

n/a
No
Yes

66 Did your agency/entity receive **recurring funds** for this upgrade or modification?

n/a
No
Yes

67 Feel free to comment on the questions or your responses in SECTION SIX: SUSTAINING STUDENT UNIT RECORD SYSTEMS

OPTIONAL SECTION: SUGGESTIONS FOR SURVEY IMPROVEMENT

68 Approximately how many hours did it **collectively** take your agency/entity to complete this survey?

0-2 hours
3-5 hours
6-8 hours
9+ hours
Other, please specify:

69 Is there anything that you would like to add that we have not addressed?

Appendix C: Respondent Directory

ALABAMA

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Appendix D: Final Data Element List

Postsecondary data elements

Demographic

- ▶ student name
- ▶ date of birth
- ▶ gender
- ▶ race/ethnicity
- ▶ Social Security Number
- ▶ K–12 ID
- ▶ institution ID
- ▶ student ID
- ▶ citizenship
- ▶ state residency status

Postsecondary academic history

- ▶ admissions scores
- ▶ placement scores
- ▶ prior college(s) attended
- ▶ transfer credit(s)

Enrollment status

- ▶ degree-seeking status
- ▶ attendance status (full-/part-time)
- ▶ first term of academic history
- ▶ program/major

Financial aid

- ▶ dependency status
- ▶ family income
- ▶ federal financial aid
- ▶ state financial aid
- ▶ institutional financial aid
- ▶ other financial aid
- ▶ merit-based financial aid
- ▶ need-based financial aid
- ▶ Free Application for Federal Student Assistance (FAFSA) fields

Academic activity

- ▶ course title
- ▶ course mode of instruction
- ▶ course grade
- ▶ term student credit hours (SCH) attempted
- ▶ term SCH earned

Academic attainment

- ▶ degree awarded
- ▶ degree date
- ▶ cumulative SCH earned
- ▶ cumulative GPA

K–12 data elements

Demographic

- ▶ free and reduced-price lunch eligibility
- ▶ disability status
- ▶ language spoken at home

High school background information

- ▶ high school attended
- ▶ district/school code
- ▶ student resident county-district code

High school academic activity

- ▶ date student enrolled
- ▶ course type (regular, honors, AP, etc.)
- ▶ course title
- ▶ course grade

High school completion information

- ▶ high school grade point average (GPA)
- ▶ high school graduation date
- ▶ K–12 assessment scores

Labor/workforce data elements

- ▶ employer ID number
- ▶ employer size (number of employees, monthly)
- ▶ employer county
- ▶ wages earned
- ▶ wage type code
- ▶ hours worked
- ▶ employment quarter code
- ▶ employment year
- ▶ date student/employee applied for Unemployment Insurance (UI)
- ▶ date student first received UI check
- ▶ other agencies providing services to student receiving UI
- ▶ U.S. Census North American Industry Classification System (NAICS) code
- ▶ U.S. Census NAICS title
- ▶ U.S. Department of Labor Standard Occupational Classification (SOC) code
- ▶ U.S. Department of Labor SOC title

Appendix E: SEI-AEM Methodology

Synergy Enterprises, Inc. and the Applied Engineering Management Corporation (SEI-AEM) used previously available research from NCES and the Lumina Foundation, as well as preliminary information from SHEEO, to identify 74 initial data elements. From these 74 elements, SEI-AEM selected 39 based on their inclusion in the IPEDS Data Dictionary (2007) as well as the frequency with which they appeared in the three sources just mentioned (see **Figure 16**). Of these 39 elements, 30 were specifically examined in this SHEEO study.

Figure 16: Thirty-nine data elements SEI-AEM identified for analysis

Data Elements		
Dependency status	Level*	Financial aid-institutional
Gender (sex)	Attendance intensity*	Financial aid-merit
ITIN* or SSN	First term of academic history	Financial aid-state
Race/ethnicity	Attendance status (full-time/part-time)	Financial aid-other
Student name	Program length*	Financial aid-need
Citizenship	Ready for transfer*	Tuition and fees*
State of residence	Credit hours*	Cumulative GPA
Permanent address*	IPEDS Institution UNITID	Cumulative SCH earned
Exclusion flag*	High school GPA	Term SCH attempted
Program/major	High school graduation date	Term SCH earned
State residency status	High school attended	Degree date
Degree-seeking status	Total price of attendance*	Degree granted/awarded
<i>Note: Elements with asterisks were not examined in SHEEO study</i>		

For each of the 28 data dictionaries that SHEEO obtained from phase 1 of data collection, SEI-AEM compared the definitions and code structures of each data element in **Figure 16** with those in the IPEDS Data Dictionary (2007). If the data element was not included in IPEDS, SEI-AEM selected the most appropriate definitions from one of the following sources: the National Postsecondary Student Aid Study, Postsecondary Electronic Standards Council, Common Data Set, Lumina Foundation for Education, or Free Application for Federal Student Aid. In the end, SEI-AEM used the Lumina Foundation for Education (2003) definitions as the alternate source.

SEI-AEM then categorized each data element according to the following rubric:

- ▶ Elements were categorized as having a **High** level of similarity to the identified source if both the data element definition and code structures were identical;
- ▶ Elements were categorized as having a **Medium** level of similarity to the identified source if the data element definition was identical and the code structure was sufficiently compatible but not identical; and
- ▶ Elements were categorized as having a **Low** level of similarity to the identified source if the data element definition was inconsistent with the identified source.

Appendix F: Abbreviations Used Within Report for States with Multiple Agencies/Entities

State	Agency/Entity	Abbreviation
California	California Community Colleges	CCC
	California Postsecondary Education Commission	CPEC
	The California State University and Colleges	CSU
	University of California System	UCS
Florida	Board of Governors, State University System of Florida	BOG
	Florida Department of Education	DOE
Minnesota	Minnesota Office of Higher Education	MOHE
	Minnesota State Colleges and Universities	MNSCU
New York	City University of New York	CUNY
	New York State Education Department Office of Higher Education	NYSED
	The State University of New York	SUNY
North Carolina	North Carolina Community College System	NCCCS
	University of North Carolina	UNC
Oregon	Oregon Department of Community Colleges and Workforce Development	ODCC
	Oregon University System	OUS
Pennsylvania	Pennsylvania Department of Education Office of Postsecondary and Higher Education	PDE
	Pennsylvania State System of Higher Education	PASSHE
Vermont	University of Vermont	UVM
	Vermont State Colleges	VSC
Washington	Washington Higher Education Coordinating Board	HECB
	Washington Office of Financial Management	OFM
	Washington State Board for Community & Technical Colleges	SBCTC
Wyoming	University of Wyoming	UWYO
	Wyoming Community College Commission	WCCC

Appendix G: Student Unit Record Systems Included in this Study by State (2009)

State	Number of SURs	Agency/Entity
Alabama	1	Alabama Commission on Higher Education
Alaska	1	University of Alaska Statewide System
Arizona	1	Arizona Academic Program Articulation Steering Committee
Arkansas	1	Arkansas Department of Higher Education
California	4	California Community Colleges
		California Postsecondary Education Commission
		The California State University and Colleges
		University of California System
Colorado	1	Colorado Department of Higher Education
Connecticut	1	Connecticut Department of Higher Education
District of Columbia	1	District of Columbia Office of the State Superintendent of Education-Higher Education Financial Services
Florida	2	Board of Governors, State University System of Florida
		Florida Department of Education
Georgia	1	Board of Regents of the University System of Georgia
Hawai'i	1	The University of Hawai'i System
Illinois	1	Illinois Board of Higher Education
Indiana	1	Indiana Commission for Higher Education
Kansas	1	Kansas Board of Regents
Kentucky	1	Kentucky Council on Postsecondary Education
Louisiana	1	Louisiana Board of Regents
Maine	1	University of Maine System
Maryland	1	Maryland Higher Education Commission
Massachusetts	1	Massachusetts Department of Higher Education
Minnesota	2	Minnesota Office of Higher Education
		Minnesota State Colleges and Universities
Mississippi	1	Mississippi Board of Trustees of State Institutions of Higher Learning
Missouri	1	Missouri Department of Higher Education
Montana	1	Montana University System
Nevada	1	Nevada System of Higher Education
New Jersey	1	New Jersey Commission on Higher Education
New Mexico	1	New Mexico Higher Education Department
New York	3	City University of New York
		New York State Education Department Office of Higher Education
		The State University of New York
North Carolina	2	North Carolina Community College System
		University of North Carolina
North Dakota	1	North Dakota University System
Ohio	1	Ohio Board of Regents
Oklahoma	1	Oklahoma State Regents for Higher Education
Oregon	2	Oregon Department of Community Colleges and Workforce Development
		Oregon University System
Pennsylvania	2	Pennsylvania Department of Education Office of Postsecondary and Higher Education
		Pennsylvania State System of Higher Education
Rhode Island	1	Rhode Island Board of Governors for Higher Education
South Carolina	1	South Carolina Commission on Higher Education
South Dakota	1	South Dakota Board of Regents
Tennessee	1	Tennessee Higher Education Commission
Texas	1	Texas Higher Education Coordinating Board
Utah	1	Utah State Board of Regents
Vermont	2	University of Vermont
		Vermont State Colleges
Virginia	1	State Council of Higher Education for Virginia
Washington	3	Washington Higher Education Coordinating Board
		Washington Office of Financial Management
		Washington State Board for Community & Technical Colleges
West Virginia	1	West Virginia Higher Education Policy Commission
Wisconsin	1	University of Wisconsin System
Wyoming	2	University of Wyoming
		Wyoming Community College Commission
total = 45*	59	

*Total number of states includes the District of Columbia.

Appendix H: Required Documentation for Outside Researchers Requesting Unit Records

State	Agency/Entity responsible	Unit Record extract	Required documentation at time of request
Alabama	Alabama Commission on Higher Education	No extracts of unit record level data	N/A
Alaska	University of Alaska Statewide System	Considered and approved on an individual basis (though requests are very infrequent)	IRB documentation; Data-Sharing Agreement
Arkansas	Arkansas Department of Higher Education	No extracts of unit record level data	N/A
California	California Community Colleges	Considered and approved on an individual basis	Requestor must submit formal written proposal outlining the research and the data requested
	The California State University and Colleges	Considered and approved on an individual basis (in the past, researchers have only been affiliated with other CA public colleges or universities)	Memorandum of Understanding
	University of California System	Considered on an individual basis and may be approved for de-identified data only	FERPA Researcher Agreement
Colorado	Colorado Department of Higher Education	Considered on an individual basis and may be approved for de-identified data only	Researcher Contract
District of Columbia	District of Columbia Office of the State Superintendent of Education	Considered and approved on an individual basis (has occurred one time)	Memorandum of Understanding
Florida	Board of Governors, State University System of Florida	Considered and approved on an individual basis	Data-Sharing Agreement
	Florida Department of Education	Considered and approved on an individual basis	Unit Record Data Request packet
Kansas	Kansas Board of Regents	Considered and approved on an individual basis	Standardized data request documents
Kentucky	Kentucky Council on Postsecondary Education	Considered on an individual basis and may be approved for de-identified data only	Data Request packet including cover letter, detailed description of the data requested, signed data use agreement, and for student requests, a letter of reference from a faculty member or advisor
Maine	University of Maine System	No extracts of unit record-level data	N/A
Maryland	Maryland Higher Education Commission	Considered on an individual basis and may be approved for de-identified data (very few cases where identifiable data was provided)	Memorandum of Understanding
Minnesota	Minnesota Office of Higher Education	No extracts of unit record-level data	N/A
	Minnesota State Colleges and Universities	Considered and approved on an individual basis	Enter into a contract with the researcher
Missouri	Missouri Department of Higher Education	Considered and approved on an individual basis	Memorandum of Understanding
Montana	Montana University System	Considered and approved on an individual basis	Memorandum of Understanding
Nevada	Nevada System of Higher Education	Considered on an individual basis and may be approved for de-identified data (although this is very infrequent)	Memorandum of Understanding
New Jersey	New Jersey Commission on Higher Education	No extracts of unit record-level data	N/A
New Mexico	New Mexico Higher Education Department	Considered and approved on an individual basis	Data Request Form (in the process of being developed)

(continued on next page)

State	Agency/Entity responsible	Unit Record extract	Required documentation at time of request
New York	City University of New York	Considered and approved on an individual basis	Memorandum of Understanding
	The State University of New York	Considered on an individual basis and may be approved for de-identified data (only one case of identifiable)	Memorandum of Understanding
North Carolina	North Carolina Community College System	Considered and approved on an individual basis	Memorandum of Understanding
Ohio	Ohio Board of Regents	Considered on an individual basis and may be approved for de-identified data only	Memorandum of Understanding
Oregon	Oregon Department of Community Colleges and Workforce Development	Considered and approved on an individual basis	Data-Sharing Agreement
	Oregon University System	Considered on an individual basis from researchers affiliated with the Oregon University System and may be approved for de-identified data only	Memorandum of Understanding
Pennsylvania	Pennsylvania Department of Education Office of Postsecondary and Higher Education	Considered and approved on an individual basis	Data Request Form
	Pennsylvania State System of Higher Education	No extracts of unit record level data	N/A
South Carolina	South Carolina Commission on Higher Education	Considered and approved on an individual basis	Data Request Form
South Dakota	South Dakota Board of Regents	Considered and approved on an individual basis	Memorandum of Understanding
Utah	Utah State Board of Regents	Considered from researchers affiliated with the agency or with one of the data providers only and approved on an individual basis	Depends on the circumstance as to what documentation is required
Vermont	Vermont State Colleges	Considered and approved on an individual basis by each college's IRB	IRB documentation
Virginia	State Council of Higher Education for Virginia	Considered and approved on an individual basis	Depends on the circumstance as to what documentation is required
Washington	Washington Higher Education Coordinating Board	Considered and approved on an individual basis (though requests are very infrequent)	Depends on the circumstance as to what documentation is required
West Virginia	West Virginia Higher Education Policy Commission	Considered and approved on an individual basis	Data Usage Agreement
Wisconsin	University of Wisconsin System	Considered and approved on an individual basis	Memorandum of Understanding
Wyoming	University of Wyoming	Considered and approved on an individual basis	Confidentiality agreement
	Wyoming Community College Commission	No extracts of unit record level data	N/A

Appendix I: Florida Department of Education Unit Record Data Request Packet

The Florida Department of Education has one of the most comprehensive procedures for requesting unit record data, consisting of six sections (available online at <http://www.fldoehub.org/research>).

- ▶ Project information, which includes basic facts such as the requestor name, affiliation, project title, and project funding;
- ▶ Project description, which includes more details about the purpose of the research, research questions, methodology, and data needed;
- ▶ Timeline, which must specify estimates of the timeframe for the Data Collection Phase, Data Analysis Phase, Report Writing Phase, and Final Report/Publication of the research;
- ▶ Statement of benefit, which asks the requestor to describe how the state of Florida might use and benefit from the research;
- ▶ Data element crosswalk, which specifies the technical data elements requested; and
- ▶ Security and access agreement, which details the protection and use of the data.

Appendix J: Existence of and Number of Data Elements by State SUR System

Agency/entity	POSTSECONDARY										Academic history					
	Demographic															
	Student name	Date of birth	Gender	Race/ethnicity	SSN	K-12 ID	IHE ID	Student ID	Citizenship	State residency status	Total demographic (10)	Admissions scores	Placement scores	Prior college(s) attended	Transfer credit(s)	Total academic history (4)
Alabama Commission on Higher Education	♦	♦	♦	♦		♦	♦	♦	♦	♦	9			♦	♦	2
University of Alaska Statewide System*	♦	♦			♦						3					0
Arizona Academic Program Articulation Steering Committee	♦	♦	♦	♦	♦			♦	♦	♦	8		♦	♦	♦	3
Arkansas Department of Higher Education	♦	♦	♦	♦	♦			♦		♦	7		♦			1
California Community Colleges	♦	♦	♦	♦	♦			♦	♦	♦	9			♦	♦	2
California Postsecondary Education Commission*											0					0
The California State University and Colleges	♦	♦	♦	♦	♦			♦		♦	8	♦	♦	♦	♦	4
University of California System	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4
Colorado Department of Higher Education		♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	4
Connecticut Department of Higher Education*					♦	♦					2					0
District of Columbia Office of the State Superintendent of Education	♦	♦			♦				♦	♦	5			♦		1
Board of Governors, State University System of Florida	♦	♦	♦	♦	♦			♦	♦	♦	8	♦	♦	♦	♦	4
Florida Department of Education	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4
Board of Regents of the University System of Georgia	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4
University of Hawaii System	♦	♦	♦	♦	♦			♦	♦	♦	9	♦	♦	♦	♦	4
Illinois Board of Higher Education*					♦						1					0
Indiana Commission for Higher Education		♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	4
Kansas Board of Regents	♦	♦	♦	♦	♦	♦	♦			♦	9	♦		♦	♦	3
Kentucky Council on Postsecondary Education	♦	♦	♦	♦	♦	♦	♦			♦	9	♦	♦	♦	♦	4
Louisiana Board of Regents	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦				1
University of Maine System*					♦						1					0
Maryland Higher Education Commission		♦	♦	♦	♦			♦		♦	7			♦		1
Massachusetts Department of Higher Education	♦	♦	♦	♦	♦			♦	♦	♦	9	♦	♦	♦	♦	4
Minnesota Office of Higher Education	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10			♦	♦	2
Minnesota State Colleges and Universities	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4
Mississippi Board of Trustees of State Institutions of Higher Learning		♦	♦	♦	♦			♦	♦	♦	8	♦	♦	♦	♦	4
Missouri Department of Higher Education	♦	♦	♦	♦	♦	♦			♦	♦	9	♦		♦	♦	3
Montana University System	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4
Nevada System of Higher Education	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10					0
New Jersey Commission on Higher Education		♦	♦	♦	♦	♦			♦	♦	8	♦		♦	♦	3
New Mexico Higher Education Department*	♦	♦	♦	♦	♦	♦					6					0
City University of New York	♦	♦	♦	♦	♦			♦		♦	8	♦	♦	♦	♦	4
New York State Education Department Office of Higher Education*											0					0
The State University of New York	♦	♦	♦	♦	♦			♦	♦	♦	9	♦		♦	♦	3
North Carolina Community College System	♦	♦	♦	♦	♦			♦	♦	♦	9		♦			1
University of North Carolina*			♦	♦	♦				♦	♦	5					0
North Dakota University System*	♦	♦			♦						3					0
Ohio Board of Regents		♦	♦	♦	♦			♦	♦	♦	8			♦	♦	2

Asterisk (*) denotes incomplete data element information. Therefore, number of data elements are artificially low. Red diamond (♦) denotes existence of data element derived from

POSTSECONDARY																												
Enrollment status					Financial aid									Academic activity					Academic attainment									
Degree-seeking status	FT/PT status	1st term academic history	Program/major	Total enroll status (4)	Dependency status	Family income	Federal financial aid	State financial aid	Institutional financial aid	Other financial aid	Merit-based financial aid	Need-based financial aid	FAFSA fields	Total financial aid (9)	Course title	Course mode of instruction	Course grade	Term SCH attempted	Term SCH earned	Total academic activity (5)	Degree awarded	Degree date	Cumulative SCH earned	Cumulative GPA	Total academic attainment (4)	Total postsecondary (36)	Total data elements (64)	
♦	♦		♦	3										0				♦		1	♦	♦	♦	♦	4	19	25	
				0										0						0					0	3	8	
♦	♦	♦	♦	4			♦			♦				2	♦		♦	♦	♦	♦	4	♦	♦	♦	♦	4	25	27
♦	♦	♦	♦	4			♦	♦	♦	♦			♦	5	♦	♦	♦	♦	♦	♦	5	♦	♦			2	24	27
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	33	36
				0										0						0					0	0	0	
♦	♦	♦	♦	4	♦		♦	♦	♦	♦	♦	♦	♦	8				♦	♦	2	♦	♦	♦	♦	4	30	33	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9				♦	♦	2	♦	♦	♦	♦	4	33	36	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9				♦	♦	2	♦	♦	♦	♦	4	32	35	
				0										0						0					0	2	2	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦				♦	6						0	♦	♦		♦	3	19	23	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	8	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	33	36	
♦	♦	♦	♦	3	♦	♦	♦	♦	♦	♦	♦	♦	♦	8	♦	♦	♦			3	♦	♦			2	30	51	
♦	♦	♦	♦	4		♦	♦	♦	♦	♦	♦	♦	♦	8	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	35	44	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	35	43	
				0										0						0					0	1	1	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	8				♦	♦	2	♦	♦	♦	♦	4	31	45	
♦	♦	♦	♦	4										0	♦	♦		♦	♦	4	♦		♦	♦	3	23	36	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	♦	5	♦		♦		2	33	48	
♦	♦	♦	♦	4	♦		♦	♦	♦	♦			♦	6	♦		♦		♦	3	♦	♦		♦	3	27	30	
				0										0						0					0	1	1	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9				♦		1	♦	♦			2	24	29	
♦	♦	♦	♦	4		♦	♦	♦	♦	♦	♦	♦		7	♦	♦		♦	♦	4	♦	♦	♦	♦	4	32	41	
♦	♦		♦	3										0						0	♦	♦			2	17	18	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	36	48	
♦	♦	♦	♦	4	♦		♦	♦	♦	♦	♦	♦		7	♦	♦		♦	♦	4	♦	♦	♦	♦	4	31	33	
♦	♦	♦	♦	4	♦	♦		♦					♦	4				♦	♦	2	♦	♦	♦	♦	4	26	38	
♦	♦	♦	♦	4	♦		♦	♦	♦	♦	♦	♦		7	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	34	44	
♦	♦	♦	♦	4						♦				1	♦		♦	♦	♦	4	♦	♦	♦	♦	4	23	38	
♦	♦		♦	3										0				♦		1	♦	♦	♦	♦	4	19	21	
				0										0						0					0	6	22	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	34	44	
				0										0						0					0	0	0	
♦	♦		♦	3										0				♦		1	♦	♦	♦	♦	4	20	23	
♦	♦	♦	♦	4	♦		♦	♦	♦	♦	♦	♦	♦	8	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	31	43	
♦	♦		♦	3										0						0	♦	♦			2	10	11	
				0										0						0					0	3	3	
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦		♦	♦	4	♦	♦	♦	♦	4	31	40	

response to question within the original data collection instrument.

Agency/entity	POSTSECONDARY (continued)															
	Demographic										Academic history					
	Student name	Date of birth	Gender	Race/ethnicity	SSN	K-12 ID	IHE ID	Student ID	Citizenship	State residency status	Total demographic (10)	Admissions scores	Placement scores	Prior college(s) attended	Transfer credit(s)	Total academic history (4)
Oklahoma State Regents for Higher Education	♦	♦	♦	♦	♦		♦		♦	♦	8	♦		♦	♦	3
Oregon Department of Community Colleges and Workforce Development	♦	♦	♦	♦	♦		♦	♦		♦	8		♦	♦		2
Oregon University System	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦		♦	♦	3
Pennsylvania Department of Education Office of Postsecondary and Higher Education	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4
Pennsylvania State System of Higher Education	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦		♦	♦	3
Rhode Island Board of Governors for Higher Education	♦	♦	♦	♦	♦		♦	♦	♦	♦	9	♦	♦	♦	♦	4
South Carolina Commission on Higher Education		♦	♦	♦	♦		♦		♦	♦	7	♦				1
South Dakota Board of Regents	♦	♦	♦	♦	♦		♦	♦	♦	♦	9	♦		♦	♦	3
Tennessee Higher Education Commission*					♦						1					0
Texas Higher Education Coordinating Board*	♦	♦	♦		♦						4					0
Utah State Board of Regents	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4
University of Vermont*											0					0
Vermont State Colleges	♦	♦	♦	♦	♦		♦	♦	♦	♦	9	♦	♦	♦	♦	4
State Council of Higher Education for Virginia*	♦	♦	♦		♦						4					0
Washington Higher Education Coordinating Board	♦	♦	♦	♦	♦		♦			♦	7					0
Washington Office of Financial Management	♦	♦	♦	♦	♦		♦	♦		♦	8			♦		1
Washington State Board for Community and Technical Colleges	♦	♦	♦	♦	♦		♦	♦	♦	♦	9			♦		1
West Virginia Higher Education Policy Commission	♦	♦	♦	♦	♦		♦		♦	♦	8	♦		♦	♦	3
University of Wisconsin System		♦	♦	♦	♦		♦	♦	♦	♦	8	♦		♦		2
University of Wyoming	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4
Wyoming Community College Commission	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	10	♦	♦	♦	♦	4

Asterisk (*) denotes incomplete data element information. Therefore, number of data elements are artificially low. Red diamond (♦) denotes existence of data element derived from

POSTSECONDARY (continued)																													
Enrollment status					Financial aid									Academic activity						Academic attainment									
Degree-seeking status	FT/PT status	1st term academic history	Program/major	Total enroll status (4)	Dependency status	Family income	Federal financial aid	State financial aid	Institutional financial aid	Other financial aid	Merit-based financial aid	Need-based financial aid	FAFSA fields	Total financial aid (9)	Course title	Course mode of instruction	Course grade	Term SCH attempted	Term SCH earned	Total academic activity (5)	Degree awarded	Degree date	Cumulative SCH earned	Cumulative GPA	Total academic attainment (4)	Total postsecondary (36)	Total data elements (64)		
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦		8	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	32	39		
♦	♦		♦	3	♦		♦	♦	♦	♦	♦	♦		7	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	29	39		
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦			♦	7	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	33	41		
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	36	39		
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	35	38		
♦	♦		♦	3			♦							1	♦		♦	♦	♦	4	♦	♦	♦	♦	4	25	32		
♦	♦		♦	3				♦			♦	♦		3	♦	♦		♦		3	♦	♦	♦	♦	4	21	24		
♦	♦	♦	♦	4										0	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	25	28		
				0										0						0					0	1	1		
				0										0						0					0	4	16		
♦	♦	♦	♦	4										0	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	27	41		
				0										0						0					0	0	0		
♦	♦	♦	♦	4	♦		♦	♦	♦	♦	♦	♦	♦	8	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	34	37		
				0										0						0					0	4	12		
♦	♦			2	♦	♦	♦	♦	♦	♦	♦	♦	♦	9						0					0	18	18		
	♦	♦	♦	3										0	♦	♦		♦	♦	4	♦	♦	♦		3	19	39		
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦		8	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	31	45		
♦	♦	♦	♦	4	♦		♦	♦	♦		♦	♦	♦	7	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	31	38		
♦	♦	♦	♦	4	♦	♦	♦	♦	♦	♦	♦	♦	♦	9		♦		♦		2	♦	♦		♦	3	28	30		
♦	♦	♦	♦	4		♦	♦	♦	♦	♦	♦	♦	♦	8	♦	♦	♦	♦	♦	5	♦	♦	♦	♦	4	35	44		
♦	♦	♦	♦	4			♦							1		♦		♦	♦	3	♦	♦	♦	♦	4	26	29		

response to question within the original data collection instrument.

Agency/entity	K-12													Total # high school completion (3)	Total K-12 (13)	State education agency (K-12) linkages			
	Demographic			High school background			Academic activity			High school completion									
	Student free & reduced lunch eligibility	Language spoken at home	Disability status	Total demographic (3)	High school attended	District/school code	Student resident county-district code	Total high school background (3)	Date student enrolled	Course type	Course title	Course grade	Total academic activity (4)				High school GPA	High school graduation date	Assessment scores
Alabama Commission on Higher Education	♦			1	♦	♦	♦	3					0	♦	♦		2	6	+
University of Alaska Statewide System*				0				0		♦			1				0	1	+
Arizona Academic Program Articulation Steering Committee				0	♦			1					0		♦		1	2	
Arkansas Department of Higher Education				0	♦			1					0	♦	♦		2	3	
California Community Colleges				0	♦			1					0		♦		1	2	+
California Postsecondary Education Commission*				0				0					0				0	0	
The California State University and Colleges				0	♦			1					0	♦	♦		2	3	
University of California System				0	♦			1					0	♦	♦		2	3	+
Colorado Department of Higher Education				0	♦			1					0	♦	♦		2	3	
Connecticut Department of Higher Education*				0				0					0				0	0	
District of Columbia Office of the State Superintendent of Education	♦			1	♦			1					0	♦	♦		2	4	+
Board of Governors, State University System of Florida				0	♦			1					0	♦	♦		2	3	+
Florida Department of Education	♦	♦	♦	3	♦	♦		2	♦	♦	♦	♦	4	♦	♦	♦	3	12	+
Board of Regents of the University System of Georgia				0	♦	♦	♦	3					0	♦			1	4	+
University of Hawaii System		♦		1	♦	♦	♦	3			♦	♦	2	♦	♦		2	8	+
Illinois Board of Higher Education*				0				0					0				0	0	
Indiana Commission for Higher Education				0	♦			1					0	♦	♦		2	3	
Kansas Board of Regents	♦		♦	2	♦	♦	♦	3	♦				1	♦	♦	♦	3	9	+
Kentucky Council on Postsecondary Education				0	♦	♦	♦	3					0	♦	♦	♦	3	6	+
Louisiana Board of Regents				0	♦			1					0	♦	♦		2	3	
University of Maine System*				0				0					0				0	0	
Maryland Higher Education Commission				0	♦			1					0	♦	♦		2	3	+
Massachusetts Department of Higher Education	♦		♦	2	♦	♦		2	♦	♦			2	♦	♦	♦	3	9	+
Minnesota Office of Higher Education				0	♦			1					0				0	1	
Minnesota State Colleges and Universities				0	♦			1					0	♦	♦		2	3	
Mississippi Board of Trustees of State Institutions of Higher Learning				0	♦			1					0	♦			1	2	
Missouri Department of Higher Education	♦			1	♦	♦	♦	3	♦				1		♦		1	6	+
Montana University System				0	♦			1					0	♦	♦		2	3	
Nevada System of Higher Education	♦			1	♦	♦	♦	3			♦	♦	2		♦		1	7	+
New Jersey Commission on Higher Education				0	♦			1					0		♦		1	2	
New Mexico Higher Education Department*				0	♦	♦		2		♦	♦		2		♦	♦	2	6	+
City University of New York	♦	♦		2	♦	♦		2	♦		♦	♦	3	♦	♦	♦	3	10	+
New York State Education Department Office of Higher Education*				0				0					0				0	0	
The State University of New York				0	♦			1					0	♦	♦		2	3	
North Carolina Community College System				0	♦			1					0		♦		1	2	
University of North Carolina*				0	♦			1					0				0	1	

Asterisk (*) denotes incomplete data element information. Therefore, number of data elements are artificially low. Red diamond (♦) denotes existence of data element derived from

Agency/entity	LABOR														Total Labor (15)	Labor/workforce agency linkages	Total data elements (64)	
	Employer ID number	Employer size: # of employees (monthly)	Employer county	Wages earned	Wage type code	Hours worked	Employment quarter code	Employment year	Date student/employee applied for UI	Date student first received UI check	Other agencies providing services to student	U.S. Census NAICS code	U.S. Census NAICS title	U.S. Department of Labor SOC code				U.S. Department of Labor SOC title
Alabama Commission on Higher Education																0		25
University of Alaska Statewide System*			♦				♦							♦	♦	4	+	8
Arizona Academic Program Articulation Steering Committee																0		27
Arkansas Department of Higher Education																0		27
California Community Colleges			♦													1	+	26
California Postsecondary Education Commission*																0		0
The California State University and Colleges																0		33
University of California System																0		36
Colorado Department of Higher Education																0		35
Connecticut Department of Higher Education*																0		2
District of Columbia Office of the State Superintendent of Education																0		23
Board of Governors, State University System of Florida																0		36
Florida Department of Education			♦	♦	♦	♦	♦				♦	♦	♦	♦		9	+	51
Board of Regents of the University System of Georgia	♦		♦				♦	♦						♦		5	+	44
University of Hawaii System																0		43
Illinois Board of Higher Education*																0		1
Indiana Commission for Higher Education	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦						11	+	45
Kansas Board of Regents				♦			♦	♦			♦					4	+	36
Kentucky Council on Postsecondary Education		♦	♦	♦	♦	♦					♦	♦	♦	♦		9	+	48
Louisiana Board of Regents																0		30
University of Maine System*																0	+	1
Maryland Higher Education Commission			♦				♦									2	+	29
Massachusetts Department of Higher Education																0		41
Minnesota Office of Higher Education																0		18
Minnesota State Colleges and Universities	♦	♦	♦	♦		♦	♦				♦	♦				9	+	48
Mississippi Board of Trustees of State Institutions of Higher Learning																0	+	33
Missouri Department of Higher Education	♦		♦	♦			♦	♦			♦					6	+	38
Montana University System	♦	♦	♦	♦			♦	♦			♦					7	+	44
Nevada System of Higher Education			♦	♦	♦	♦	♦	♦						♦	♦	8	+	38
New Jersey Commission on Higher Education																0		21
New Mexico Higher Education Department*	♦		♦	♦	♦	♦	♦				♦	♦	♦	♦		10	+	22
City University of New York																0		44
New York State Education Department Office of Higher Education*																0		0
The State University of New York																0		23
North Carolina Community College System	♦		♦	♦			♦	♦	♦	♦	♦			♦		10	+	43
University of North Carolina*																0		11

response to question within the original data collection instrument.

Agency/entity	K-12 (continued)																		
	Demographic				High school background				Academic activity				High school completion						
	Student free & reduced lunch eligibility	Language spoken at home	Disability status	Total demographic (3)	High school attended	District/school code	Student resident county-district code	Total high school background (3)	Date student enrolled	Course type	Course title	Course grade	Total academic activity (4)	High school GPA	High school graduation date	Assessment scores	Total # high school completion (3)	Total K-12 (13)	State education agency (K-12) linkages
North Dakota University System*				0				0					0				0	0	+
Ohio Board of Regents				0	♦			1					0		♦		1	2	
Oklahoma State Regents for Higher Education				0	♦			1					0	♦	♦		2	3	
Oregon Department of Community Colleges and Workforce Development				0	♦	♦		2					0		♦	♦	2	4	+
Oregon University System	♦	♦	♦	3	♦	♦		2					0	♦	♦	♦	3	8	+
Pennsylvania Department of Education Office of Postsecondary and Higher Education				0	♦			1					0	♦	♦		2	3	
Pennsylvania State System of Higher Education				0	♦			1					0	♦	♦		2	3	+
Rhode Island Board of Governors for Higher Education				0	♦			1					0		♦		1	2	
South Carolina Commission on Higher Education				0	♦			1					0	♦	♦		2	3	
South Dakota Board of Regents				0	♦	♦		2					0		♦		1	3	+
Tennessee Higher Education Commission*				0				0					0				0	0	
Texas Higher Education Coordinating Board*	♦			1	♦	♦	♦	3		♦			1		♦		1	6	+
Utah State Board of Regents	♦			1	♦	♦	♦	3					0	♦	♦	♦	3	7	+
University of Vermont*				0				0					0				0	0	
Vermont State Colleges				0	♦			1					0	♦	♦		2	3	
State Council of Higher Education for Virginia*				0				0					0				0	0	
Washington Higher Education Coordinating Board				0				0					0				0	0	
Washington Office of Financial Management	♦	♦	♦	3	♦	♦	♦	3	♦	♦	♦	♦	4	♦	♦	♦	3	13	+
Washington State Board for Community & Technical Colleges				0	♦		♦	2	♦				1		♦		1	4	+
West Virginia Higher Education Policy Commission				0	♦			1					0	♦	♦		2	3	
University of Wisconsin System				0	♦			1					0		♦		1	2	
University of Wyoming				0	♦	♦	♦	3	♦	♦	♦	♦	4	♦	♦		2	9	+
Wyoming Community College Commission				0	♦			1					0	♦	♦		2	3	

Asterisk (*) denotes incomplete data element information. Therefore, number of data elements are artificially low. Red diamond (♦) denotes existence of data element derived from

Agency/entity	LABOR (continued)														Total Labor (15)	Labor/workforce agency linkages	Total data elements (64)	
	Employer ID number	Employer size; # of employees (monthly)	Employer county	Wages earned	Wage type code	Hours worked	Employment quarter code	Employment year	Date student/employee applied for UI	Date student first received UI check	Other agencies providing services to student	U.S. Census NAICS code	U.S. Census NAICS title	U.S. Department of Labor SOC code				U.S. Department of Labor SOC title
North Dakota University System*																0	+	3
Ohio Board of Regents	♦		♦	♦			♦	♦				♦	♦			7	+	40
Oklahoma State Regents for Higher Education			♦	♦			♦	♦								4	+	39
Oregon Department of Community Colleges and Workforce Development				♦		♦	♦	♦				♦		♦		6	+	39
Oregon University System																0		41
Pennsylvania Department of Education Office of Postsecondary and Higher Education																0		39
Pennsylvania State System of Higher Education																0		38
Rhode Island Board of Governors for Higher Education				♦			♦	♦				♦	♦			5	+	32
South Carolina Commission on Higher Education																0		24
South Dakota Board of Regents																0		28
Tennessee Higher Education Commission*																0		1
Texas Higher Education Coordinating Board*			♦	♦			♦	♦				♦	♦			6	+	16
Utah State Board of Regents	♦		♦	♦			♦	♦				♦	♦			7	+	41
University of Vermont*																0		0
Vermont State Colleges																0		37
State Council of Higher Education for Virginia*	♦	♦	♦	♦	♦		♦	♦						♦		8	+	12
Washington Higher Education Coordinating Board																0		18
Washington Office of Financial Management			♦	♦	♦	♦	♦	♦				♦				7	+	39
Washington State Board for Community & Technical Colleges	♦	♦	♦	♦	♦	♦	♦	♦				♦	♦			10	+	45
West Virginia Higher Education Policy Commission	♦			♦			♦	♦								4	+	38
University of Wisconsin System																0		30
University of Wyoming																0		44
Wyoming Community College Commission																0		29

response to question within the original data collection instrument.

Appendix K: Full Listing of Types of Reports Generated Using SUR Data

Type of report	Number of states	Number of SURs
Enrollment	42	54
Retention	40	51
Transfer	39	51
Completions	39	49
Performance measures	35	45
Remediation	38	44
Financial aid	33	40
Distance education	30	36
Dual credit/dual enrollment	31	35
High school feedback	31	34
Institutional profile, public	28	33
Tuition/fees/college costs	24	28
Facilities utilization	19	22
Institutional finance	19	22
Noncredit instructional activity	21	22
Mobility/migration	17	19
Economic impact/jobs	16	16
Articulation	12	15
Course cost analysis	15	15
Course-taking patterns	14	15
Student learning	12	13
Institutional profile, private	8	8
Other reports	5	5