

# **Modes of Financial Support in the Graduate Education of Science and Engineering Doctorate Recipients**

Topical Report

Division of Science Resources Studies  
Directorate for Social, Behavioral, and  
Economic Sciences



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National Science Foundation

May 2000

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# EXECUTIVE SUMMARY

The purpose of this report is to examine the matrix of support patterns of science and engineering (S&E) doctorates in 1995,<sup>1</sup> showing the distribution of various modes of support to individuals. The data provided in this report are intended to be a source of contextual and background information for those interested in examining the various types of graduate support modes and in assessing the impacts of support modes on graduate education outcomes. The data in this study show the complexity of support mechanisms and thus the limitations of analyses of the effects of only a single mode of support.

The analysis in this report is based on the Survey of Earned Doctorates (SED). SED collects data from doctorate recipients at the time of their Ph.D. conferral regarding primary, secondary, and all other modes of support used over the course of graduate study, as well as information on individual and institutional characteristics. The following highlights some of the main results of the study.

## NUMBER OF SUPPORT MODES USED

New S&E Ph.D.s commonly used more than one mode of support during graduate school. Only 16 percent of 1995 S&E Ph.D. recipients reported using one mode of support and more than 40 percent used 3 or more modes of support. The average number of modes of support reported by these recipients was 2.5. Numbers of modes of support varied by field, sex, race/ethnicity,<sup>2</sup> and citizenship. For example, 72 percent of those in the agricultural sciences, but only 44 percent of those in psychology, used one or two support modes. On average, women reported more support modes than men in S&E as a whole and within most fields. Asians and foreign students, on average, reported fewer modes of support than did other groups.

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<sup>1</sup>Throughout this report, the terms science and engineering doctorates and science and engineering Ph.D.s refer to research doctorates in agricultural sciences; biological sciences; computer & information sciences; mathematics; physical sciences; earth, atmospheric, & ocean sciences; psychology; social sciences; and engineering, as well as the health sciences (e.g., environmental health, nursing, pharmacy, and veterinary medicine). Although this study examined support patterns in 1995, more recent data are currently available (see NSF 1999a.).

<sup>2</sup>Race/ethnicity and citizenship are aggregated into the following categories: U.S. citizens and permanent residents who are further subdivided as: Asians (Asians or Pacific Islanders), underrepresented minorities (black non-Hispanics; Hispanics, and American Indians or Alaskan Natives), and white non-Hispanics; and foreign students (defined here as persons on temporary visas at the time of receipt of the Ph.D.).

Although the number of support modes did not vary by institutional control (public/private), it did vary by the research emphasis of the institution. In every field except earth, atmospheric and ocean sciences, students receiving doctorate degrees from Carnegie Research I (Research I)<sup>3</sup> institutions were more likely than those receiving their degrees from other institutions to report use of more than one mode of support.

## PREVALENCE OF MODES OF SUPPORT

S&E Ph.D. recipients in 1995 reported greater use of research assistantships (RAs) (66 percent) than any other support mode in many fields. Exceptions were the health sciences, mathematics, psychology, and the social sciences. In the health sciences, psychology, and the social sciences, use of one's own funds was the most frequently cited support mode; in mathematics, it was teaching assistantships (TAs). Fellowships,<sup>4</sup> traineeships,<sup>5</sup> and loans were less frequently cited modes of support in S&E as a whole.

Among 1995 S&E Ph.D. recipients, women were more likely than men to report using fellowships, traineeships, their own funds, or loans as a mode of support. Men were more likely than women to have received support in the form of RAs. However, some of these aggregate differences between women's and men's support modes are related to differences in field of doctorate.

As in differences in support modes cited by men and women, some of the aggregate variations across racial/ethnic groups also reflect field differences. However, field differences do not explain all of the racial/ethnic variations in modes of support. Asians reported using RAs with greater frequency than other groups in every field except computer and information sciences and psychology.<sup>6</sup>

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<sup>3</sup>See the definitions of Research I and all other Carnegie-classified institutions in appendix A.

<sup>4</sup>Fellowships are here described as nationally competitive awards granted directly by the sponsoring organization to a student.

<sup>5</sup>Traineeships are here considered to be those awards that are not nationally competitive and that are awarded by individual academic departments or institutions rather than by a sponsoring organization.

<sup>6</sup>The Chinese Student Protection Act of 1992 allowed Chinese students to apply for permanent residency in 1993. Three-quarters of the U.S. citizen and permanent resident Asians receiving S&E Ph.D.s in 1995 were permanent residents and 77 percent of those permanent residents were from the People's Republic of China. Thus, a large proportion of the U.S. citizen and permanent resident Asians receiving S&E Ph.D.s in 1995 were Chinese who may have entered graduate school as temporary residents and were therefore ineligible for modes of support that required U.S. citizenship or permanent residency.

In every field, a larger percentage of both underrepresented minorities and whites reported using their own funds and loans than did either Asians or foreign students. Also in every field, higher percentages of underrepresented minorities than of other groups reported using traineeships. In all fields but earth, atmospheric, and ocean sciences, higher percentages of underrepresented minorities than of other groups reported using fellowships.

Little difference existed in support patterns reported by new S&E Ph.D.s in public and private institutions. However, those with doctorates from Research I institutions—the Nation’s largest research performing universities—did differ notably from those in other types of academic institutions. New S&E Ph.D.s from Research I institutions were more likely to report use of RAs, and less likely to report use of their own funds, than were new Ph.D.s from all other institutions. In addition, they were also somewhat more likely to have held fellowships or traineeships or to have served as teaching assistants.

## COMBINATIONS OF MODES OF SUPPORT

Five combinations of support modes out of a possible 127 were reported by just under 40 percent of the 1995 S&E Ph.D. recipients. Two combinations—RA + TA<sup>7</sup> and RA + own funds—accounted for about 20 percent of all combinations of modes. RA + TA + own funds and RA alone were the third and fourth most frequent combinations. TA + own funds was the fifth most frequently used combination of support modes.

In most fields, i.e., engineering, the social sciences, computer and information sciences, physical sciences, and

biological sciences, predominant combinations of support modes do not differ greatly by sex. However, differences are apparent in a few fields. For example, in the health sciences, 12 percent of women, but only 6 percent of men, reported using their own funds as their only mode of support. In mathematics, women and men have the same top four combinations of support, but for men the predominant combination was RA + TA; for women, TA + own funds. In the earth, atmospheric, and ocean sciences, women and men reported the same top four combinations; but the predominant combination for women was RA + TA + own funds, that for men was RA + own funds.

Combinations of support modes also differed by race/ethnicity. Each of the top five support combinations for underrepresented minorities involved the use of own resources, but their top five support modes involved only 22 percent of underrepresented minority Ph.D. recipients; for Asians and foreign students, their top five accounted for about 60 percent each. In fact, just under 40 percent of those of Asian background received their support from two sets of combinations: either the RA + TA combination or RA alone.

Four of the top five combinations of support modes were the same for new S&E Ph.D.s from both public and private institutions, with only the order and level varying. The top five combinations in private institutions were used by 33 percent of the doctoral recipients compared with 43 percent in public institutions.

The Nation’s major research—Research I—universities and other types of academic institutions also shared four of the top five combinations of support modes for new S&E Ph.D.s.

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<sup>7</sup>Order does not imply anything in combinations of support modes, i.e., RA + TA is the same as TA + RA.

# INTRODUCTION

## REASONS FOR INTEREST IN GRADUATE STUDENT SUPPORT

Two main developments underlie the current policy interest in graduate student support. One is a growing concern that graduate science and engineering<sup>8</sup> (S&E) education in the United States is too narrowly focused to be able to meet the needs of the student or the workplace. The second is the increasing call for greater accountability by Federal agencies as exemplified in the Government Performance and Results Act of 1993 (GPRA). These developments have increased the attention paid to the outcomes of graduate student support and the mechanisms through which it is administered. This report focuses on the latter issue—the modes of financial support.

Many analyses relating to graduate financial support have focused solely on students' *primary* support (COSEPUP 1995, NSF 1996b, NSB 1998, NSF 1998a). But in fact, most graduate students tend to use multiple modes of support over the course of their doctoral studies, making it difficult to rely only on a clear primary or secondary support mode for information on their financial support. Therefore, those examining the efficacy of various support modes should be aware of and take into account the multiple modes of support. They should also be aware of the extent to which such support modes vary by characteristics such as field, sex, race/ethnicity, and citizenship status of S&E doctorate recipients and the type of institution from which they received their doctorates. The purpose of this report is to examine the entire range of support patterns of S&E doctorates, showing the distribution of various modes of support to individuals. The analysis partitions data by a number of individual and institutional characteristics. The objective of the study is to provide contextual and background information about the nature of graduate financial support to those thinking either about the impacts of support modes on graduate S&E education or how to evaluate the impacts of specific graduate support programs for GPRA purposes.

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<sup>8</sup>Throughout this report, the terms science and engineering doctorates and science and engineering Ph.D.s refer to research doctorates in agricultural sciences, biological sciences, computer and information sciences, mathematics, physical sciences, earth, atmospheric, and ocean sciences, psychology, social sciences, and engineering, as well as the health sciences (e.g., environmental health, nursing, pharmacy, and veterinary medicine).

## U.S. S&E GRADUATE EDUCATION

In recent years, policy makers, academics, and other interested parties have been examining the changes in science and technology, employer needs, demographics, and the international environment, with an eye to the adjustments these may require in the U.S. graduate education system (COSEPUP 1995, NSB 1996, NSF 1996a, AAU 1998). Among the most frequently made recommendations are the following:

- broader and less specialized training;
- shorter time-to-degree;
- increased experience in nonacademic settings;
- improved communication skills;
- greater ability to work in teams;
- heightened awareness of possible career choices, particularly of the options available outside academia; and
- greater focus on attraction and retention in higher education of underrepresented minorities.

In these discussions, graduate support modes—that is, the various ways in which graduate students are supported financially—are often viewed as helping or hindering the achievement of many of these recommendations. A report by the National Academy of Sciences' Committee on Science, Engineering, and Public Policy (1995), *Reshaping the Graduate Education of Scientists and Engineers*, focused on Ph.D.s and discussed the changing context of graduate education, employment trends and prospects for graduate scientists and engineers, the impacts of sizeable populations of foreign students, time to employment, and information needs. The report indicated that research assistantships had become the dominant mode of Federal support for graduate students, but cited several drawbacks to this dependence on research grants. A major recommendation was that government agencies should adjust their support and include new education/training grants to institutions and departments.

The National Science Board Task Force on Graduate Education, established in 1995, examined the merits and mix of the several modes of funding support (i.e., research assistantships, fellowships, traineeships) used by the National Science Foundation (NSF) and their impacts on graduate students' experience and preparation. The task force determined that data were insufficient to

support recommendations for major revisions in the mix of NSF funding. The report concluded that:

- limited studies should be conducted on alternative modes of graduate support, with defined goals and assessment criteria; and
- data collection and/or research on funding mechanisms and their influence on various aspects of graduate student education and employment should be supported.

## THE GOVERNMENT PERFORMANCE AND RESULTS ACT

Congress passed the Government Performance and Results Act (GPRA) of 1993. GPRA aims to shift the focus of Federal agencies away from traditional concerns, such as staffing and the level of services provided, and toward the achievement of stipulated results of government programs and activities. GPRA requires every Federal agency to prepare multiyear strategic plans and annual performance plans and reports. These documents are intended to give agencies formal tools with which to set forth goals, prepare plans to meet those goals, and to assess and measure progress and accomplishments.

As part of GPRA, every Federal agency is expected to provide information about the outputs and outcomes of its activities. Graduate education is one such activity for NSF: a key investment strategy in its broader outcome goal for a diverse, globally-oriented workforce of scientists and engineers. NSF supports graduate students directly through graduate fellowships and traineeships and indirectly through research assistantships as part of NSF grants. This study provides contextual information that can be used by those responsible for assessing the impacts of specific programs relating to graduate support for GPRA purposes.

## STUDY DATA: STRENGTHS AND LIMITATIONS

NSF has two annual sources of data on graduate support patterns—the Survey of Graduate Students and Postdoctorates in Science and Engineering (GSS) and the Survey of Earned Doctorates (SED). However, GSS collects data on full-time S&E graduate students' primary support mode only from academic departments. SED collects data directly from doctorate recipients at

the time of Ph.D. conferral regarding primary, secondary, and all other modes of support used over the course of graduate study. Thus, only SED data are used in this report. Almost the entire report is based on the 1995 responses of 27,865 recipients of a science or engineering doctorate. However, the beginning of chapter 2 contains some references to 1986 SED data for comparison purposes.

The SED is a universe survey of all recipients of research doctorates in the United States. The data are representative only of doctorate recipients, not of all graduate students. The SED is the only national source of data on modes of support, which is asked of every individual receiving a research doctorate in the United States. The response rate to the survey is high—94.3 percent in 1995. The response rate for mode of support was 94 percent, but only 76 percent report a primary source of support and 63 percent a secondary source.<sup>9</sup> Because this is not a sample survey, results are not subject to sampling error, thus statistical significance is not an issue. Results are subject, however, to nonsampling error, for example, underreporting of primary and secondary mode of support. Profiles of nonrespondents are available in appendix tables A2 and A3.

A further point to note is that neither of the two surveys collects information on dollar amounts of support. Thus, the report focuses on the number or percentage of new Ph.D.s reporting use of a particular mode or combination of modes of support. The reader should bear in mind that changes in modes of support over time or differences among groups in types or combinations of support modes do not necessarily imply changes or differences in amounts of funding.<sup>10</sup> The decrease in use of loans from 1986 to 1995, for example, does not imply a decrease in the amount of debt.<sup>11</sup>

Although this study examines demographic and institutional factors that may affect support patterns, other factors not considered here may influence the nature of

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<sup>9</sup>After 1995, the questionnaire form was changed to obtain a higher response rate. In 1996, the response rate to primary and secondary support rose to 87.9 and 76.1 percent, respectively.

<sup>10</sup>Another report, relying on the National Center for Education Statistics' National Postsecondary Study Aid Study, addresses the financial aid profile of graduate students enrolled at master's and doctoral levels. See NSF, *Financial Aid Profile of Graduate Students in Science and Engineering*, forthcoming.

<sup>11</sup>For information about indebtedness at the time of receipt of the doctorate, see the two NSF issue briefs dealing with this issue (NSF 1998b and NSF 1999b).



support patterns or may interact with some of the attributes being examined in this study to affect support patterns. Such other factors include age of doctorate recipients, geographical location of institution from which degree is received, and part-time/full-time status of students.

## ORGANIZATION OF THIS REPORT

Chapter 2 introduces and defines the seven distinct modes of financial support examined in this study and reports on the frequency with which each of these is reported as a primary, secondary, or any mode of support by S&E Ph.D. recipients. The chapter's main focus is the *number* of support modes used. It examines this

variable, by broad field of study, for 1995 S&E Ph.D.s as a whole as well as by sex, race/ethnicity and citizenship, public versus private institutions, and Carnegie Research I (Research I) institutions vs. other institutions.<sup>12</sup> Chapter 3 looks at *combinations* of support modes and examines how these combinations vary with field of study and the other analytical categories employed in chapter 2. Chapter 3 also presents information on the percentage of 1995 S&E Ph.D.s reporting each of the seven support modes as one of their modes of support, or as their primary mode of support.

Appendix A – Technical Notes contains a detailed description of the survey, variables, and data used.

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<sup>12</sup>See the definitions of Research I and all other Carnegie-classified institutions in appendix A.

# NUMBERS OF SUPPORT MODES USED

## MODES OF SUPPORT

The methods used to fund graduate education are diverse. In the 1995 SED survey, new Ph.D.s were asked to select, from among 32 separate support choices, those that they may have used during graduate school. In this study, those 32 possible options have been combined into 7 distinct modes of support;<sup>13</sup> these are listed below and described in the text box:

- fellowships,<sup>14</sup>
- traineeships,
- research assistantships (RAs),
- teaching assistantships (TAs),
- own funds,
- loans, and
- other.

Respondents to the 1995 SED used all of the 127 possible combinations of these seven modes of support; respondents to the 1986 SED used 125. As would be expected, not all combinations are evenly distributed among the respondents. For example, in 1995 only one person used a combination of fellowship, traineeship, RA, loan, and other; 2,703 used a combination of RA and TA. (The combinations of support patterns are discussed in greater detail in chapter 3.) In 1995, 58 percent of all respondents reported a total of either one or two modes of support, compared to only 49 percent in 1986 (table 1).

Table 2 shows the incidence of funding modes for 1986 and 1995. Use of traineeships declined from 30 to 21 percent, use of own funds from 70 to 61 percent, and use of loans from 29 to 20 percent. The use of RAs, on the other hand, increased from 56 percent in 1986 to 66 percent in 1995. Changing demographics contribute to some of this shift in use of RAs. In 1986, 21 percent of S&E Ph.D. recipients were foreign students on temporary visas. By 1995, this amount rose to 26 percent. (NSF 1996c.) Because they often do not qualify for Federal loans in this country, they tend to rely more heavily on RAs. Interestingly, in either time period, there were only

<sup>13</sup>See question 17 of the questionnaire in Appendix A for the 32 support choices. See page A-2 of Appendix A for the grouping of these 32 choices into the 7 modes of support. The emphasis on modes rather than on sources was chosen because validation studies of the SED showed that students frequently misreport the source (e.g., Federal, nonfederal) of their financial support, but that they can accurately identify the modes. (NRC 1994)

<sup>14</sup>Note that fellowships are nationally competitive awards. University fellowships are included under traineeships.

### Definitions and Terminology

- **Fellowships** are here described as nationally competitive awards granted directly by the sponsoring organization to a student, such as fellowships from the Ford Foundation; Mellon Foundation; Rockefeller Foundation; Alcohol, Drug Abuse and Mental Health Administration; NSF; U.S. Department of Agriculture (USDA); and Fulbright Foundation. Also included are other fellowships such as Woodrow Wilson, Danforth, Hertz, Earhard, and African Graduate Fellowship Program fellowships.
- **Traineeships** are here considered to be those awards that are not nationally competitive and that are awarded by individual academic departments or institutions rather than by a sponsoring organization. These include university or university-related fellowships; National Institutes of Health (NIH) fellowships; and other Federal support such as Patricia Roberts Harris, Title IV Foreign Language, and National Defense Education Act fellowships.
- **Research assistantships** include university-related research assistantships and Federal research assistantships such as those provided by NIH, NSF, USDA, and other agencies.
- **Teaching assistantships** include university-related teaching assistantships.
- **Own funds** include resources from a student's own earnings, spouse's earnings, and family contributions.
- **Loans** include student loans such as guaranteed student loans, Perkins loans, and other loans.
- **Other sources include** Federal support from the Departments of Health and Human Services, Education, and Veterans Affairs; the National Endowment for the Humanities; other government departments and agencies; university-related college work study and other university-related funding; business or employer funds; support from foreign governments, and support from state governments.

small differences reported in the use of particular support modes as either primary or secondary modes, except for the case of RAs, which more commonly provided primary than secondary support, and own funds and loans, which more commonly provided secondary support. However, because the number of graduate students has increased, more students are using any one specific mode.

Although some change is apparent between 1986 and 1995, it is small enough that this report will not address such variations. Also, since there is such a small percent of S&E Ph.D.s (less than 1 percent) using more than five modes, the report will consider only students using five or fewer modes in most tables reporting number of funding modes.

There is considerable variation in the number of modes of funding used in different S&E fields. Table 3 shows, for example, that more than one-quarter of those

in the agricultural sciences used only one support mode, and nearly three-quarters used one or two modes. In contrast, only 44 percent of those in psychology were covered by one or two modes. The average number of modes of support varies from 2.1 for the agricultural sciences to 2.9 for the social sciences, with an overall mean of 2.5 (table 4). The variation in number of support modes by field (as well as by sex, race/ethnicity, and citizenship) suggests that a “one size fits all” policy to influence graduate support patterns may not be appropriate. For instance, for groups characterized by a large number of funding modes, emphasis on one specific mode of support may have less effect than on a group characterized by one predominant mode of funding.

### PRIMARY MODE OF SUPPORT

1995 S&E Ph.D.s reported use of RAs (38 percent) than any other primary support mode (table 5). This was the case in all fields except the health sciences, math-

**Table 1. Percentages of 1986 and 1995 S&E Ph.D. recipients using various numbers of support modes**

Year	Number of S&E Ph.D.s	Number of support modes						
		1	2	3	4	5	6	7
1986.....	20,207	13	36	27	16	6	1	< 1
1995.....	27,865	16	42	24	13	4	1	< 1

**NOTE:** Rows may not total 100 percent due to rounding. Percentages are based on those reporting at least one mode of support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table 2. Percentages of 1986 and 1995 S&E Ph.D. recipients reporting various support modes as any, primary or secondary support source**

Support mode	1986			1995		
	Any <sup>1</sup> support	Primary support	Secondary support	Any <sup>1</sup> support	Primary support	Secondary support
Fellowship.....	7	3	2	7	3	2
Traineeship.....	30	11	9	21	8	8
Research assistantship.....	56	30	16	66	38	21
Teaching assistantship.....	52	19	21	51	18	22
Own funds.....	70	25	34	61	22	32
Loans.....	29	2	10	20	2	8
Other.....	26	9	8	24	9	7

<sup>1</sup> Students may report more than one mode of support. These columns present data on support reported from any of these modes.

**NOTE:** Primary and secondary columns may not total 100 percent due to rounding. Percentages are based on actual responses. The nonresponse rate was 4 percent for any support, 24 percent for primary support, and 37 percent for secondary support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table 3. Percentages of 1995 S&E Ph.D. recipients using various numbers of support modes, by field**

Field	Number of support modes					
	1	2	3	4	5	More than 5
<b>Total S&amp;E</b> .....	16	42	24	13	4	1
Agricultural sciences.....	27	45	19	6	2	1
Biological sciences.....	19	42	24	12	3	0
Health sciences.....	18	38	25	14	4	1
Engineering.....	19	47	22	9	2	1
Computer & information sciences.....	13	46	27	11	2	1
Mathematics.....	17	45	24	11	2	1
Physical sciences.....	12	47	26	11	3	1
Earth, atmospheric, & ocean sciences.....	15	39	26	14	5	1
Psychology.....	12	32	28	19	8	1
Social sciences.....	12	34	24	18	8	4

**NOTE:** Rows may not total 100 percent due to rounding. 1,779 Ph.D.s did not report any mode of support. Percentages are based on those reporting at least one mode of support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table 4. Average number of modes of support used by 1995 S&E Ph.D. recipients, by field**

Field	Average number of modes used
<b>Total S&amp;E</b> .....	2.5
Agricultural sciences.....	2.1
Biological sciences.....	2.4
Health sciences.....	2.5
Engineering.....	2.3
Computer & information sciences.....	2.4
Mathematics.....	2.4
Physical sciences.....	2.5
Earth, atmospheric, & ocean sciences.....	2.6
Psychology.....	2.8
Social sciences.....	2.9

**NOTE:** 1,779 Ph.D.s did not report any mode of support. Averages are based on those reporting at least one mode of support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table 5. Any, primary, and secondary modes of support for 1995 S&E Ph.D. recipients, by field (percentages)**

Field	Fellowship	Traineeship	Research assistant-ship	Teaching assistant-ship	Own funds	Loans	Other
<b>Any mode</b>							
<b>Total S&amp;E</b> .....	7	21	66	51	61	20	24
Agricultural sciences.....	6	9	74	19	58	16	32
Biological sciences.....	8	34	67	41	53	19	19
Health sciences.....	5	28	47	33	82	22	34
Engineering.....	5	12	79	41	56	9	25
Computer & information sciences.....	7	14	71	56	62	9	26
Mathematics.....	6	20	47	85	49	11	20
Physical sciences.....	6	15	86	73	41	13	15
Earth, atmospheric, & ocean sciences.....	8	15	81	49	59	16	30
Psychology.....	3	20	46	50	86	51	26
Social sciences.....	13	30	45	63	75	28	32
<b>Primary mode</b>							
<b>Total S&amp;E</b> .....	3	8	38	18	22	2	9
Agricultural sciences.....	4	3	52	4	17	1	19
Biological sciences.....	4	20	40	14	14	1	7
Health sciences.....	1	10	17	9	49	2	11
Engineering.....	3	3	56	10	15	0	13
Computer & information sciences.....	3	4	40	19	24	0	10
Mathematics.....	3	4	14	60	11	0	7
Physical sciences.....	3	4	57	22	8	0	6
Earth, atmospheric, & ocean sciences.....	2	4	52	13	18	0	11
Psychology.....	2	7	16	15	44	10	6
Social sciences.....	4	11	14	27	32	2	9
<b>Secondary mode</b>							
<b>Total S&amp;E</b> .....	2	8	21	22	32	8	7
Agricultural sciences.....	2	5	20	10	47	8	9
Biological sciences.....	2	12	23	18	30	8	7
Health sciences.....	1	11	16	10	43	8	11
Engineering.....	2	6	23	23	34	4	9
Computer & information sciences.....	2	5	26	24	31	3	8
Mathematics.....	1	9	28	22	28	4	8
Physical sciences.....	1	5	28	40	18	3	5
Earth, atmospheric, & ocean sciences.....	2	7	26	25	26	5	10
Psychology.....	0	6	11	15	40	22	5
Social sciences.....	4	10	15	20	34	9	9

**NOTE:** Primary and secondary rows may not total 100 percent due to rounding. Percentages are based on actual responses. The nonresponse rate was 4 percent for any support, 24 percent for primary support, and 37 percent for secondary support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

ematics, psychology, and the social sciences. The use of own funds was the most frequently cited primary mode of support for those in the health sciences, psychology, and the social sciences. TAs were the most frequently cited primary mode in mathematics.

Fellowships, traineeships, and loans were the least frequently cited primary mode of support in S&E as a whole. Fellowships were the primary mode of support for only 3 percent of S&E Ph.D. recipients in 1995. Traineeships were cited as the primary mode of support more frequently in the biological sciences, health sciences, and social sciences. Loans were cited by few as a primary mode in every field except psychology. Table A1 in appendix A shows the number of doctorate recipients by primary mode of support and selected demographic and institutional characteristics.

## SECONDARY MODE OF SUPPORT

The use of own funds was the most frequently reported secondary funding mode, cited by 32 percent of respondents citing a secondary mode (table 5). By major field of study, own funds was cited as secondary support by between 18 percent (physical sciences) and 47 percent (agricultural sciences) of 1995 Ph.D.s. Use of TAs was reported by 10 to 40 percent, and RAs by 11 to 28 percent.

The following sections examine how the number of modes used varies by the respondent's sex, race/ethnicity, and citizenship. The final section considers whether those who attended public institutions reported using different numbers of funding modes than those in private institutions and whether those attending Research I institutions differed from those in all other institutions.

## NUMBER OF SUPPORT MODES BY SEX

Since differences between the sexes in the number of funding modes reported exist across almost all major fields of study, other characteristics besides field differences may need to be taken into account when formulating policies for graduate support (table 6). In every field except psychology, a larger percentage of women than men reported using more than three funding modes.

In mathematics, 19 percent of men reported using only one funding mode, while only 13 percent of women used a single mode of support. However, 88 percent of men in mathematics used one, two, or three modes of funding; so did 86 percent of women. The largest differences in men and women reporting one to three funding modes are in the earth, atmospheric, and ocean sciences (82 percent of men and 74 percent of women) and social sciences (74 percent of men and 65 percent of women).

**Table 6. Percentages of 1995 S&E Ph.D. recipients citing 1, 2, 3, and more than 3 support modes, by sex and field**

Field	1 mode		2 modes		3 modes		> 3 modes	
	F	M	F	M	F	M	F	M
<b>Total S&amp;E</b> .....	14	17	38	44	25	24	23	15
Agricultural sciences.....	23	28	43	46	25	18	10	8
Biological sciences.....	19	19	40	43	24	24	18	15
Health sciences.....	17	21	38	37	25	26	20	16
Engineering.....	18	19	42	48	24	22	16	10
Computer & information sciences.....	11	13	45	47	27	27	18	13
Mathematics.....	13	19	47	45	26	24	14	13
Physical sciences.....	10	12	44	48	28	26	18	14
Earth, atmospheric, & ocean sciences .....	15	15	29	42	30	25	26	18
Psychology.....	12	11	33	32	28	28	27	29
Social sciences.....	10	14	32	35	23	25	35	27

**NOTE:** 1,779 Ph.D.s did not report any mode of support. Percentages are based on those reporting at least one mode of support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

## NUMBER OF SUPPORT MODES BY RACE/ETHNICITY AND CITIZENSHIP

Race/ethnicity and citizenship are aggregated into the following categories for this report:

- U.S. citizens and permanent residents, who are further subdivided as:
  - Asian (Asian or Pacific Islander);
  - underrepresented minority (black, non-Hispanic; Hispanic; and American Indian or Alaskan Native); or
  - white, non-Hispanic; and
- foreign students (persons on temporary visas).

The number of support modes reported varied with the race/ethnicity and citizenship status of respondents. Asians as well as foreign students reported considerably fewer modes of support, on average, than did other groups.<sup>15</sup> The average number of support modes reported by Asians and foreign students, as well as the percentage of these groups reporting more than three support modes, was lower in S&E as a whole as well as in every major field except psychology. In psychology, Asian's support patterns were similar to those of whites and underrepresented minorities in terms of both mean number of support modes and percentage reporting more than three modes (table 7).<sup>16</sup>

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<sup>15</sup>See "Asian S&E Ph.D. Recipients—U.S. Citizens Compared to Permanent Residents" on page 23 for a cautionary note on how one should interpret the comparisons across race/ethnicity and citizenship classifications.

<sup>16</sup>This may be explained by the fact that a higher percentage of Asians earning psychology doctorates than of those earning doctorates in many other S&E fields were born in the United States.

## NUMBER OF SUPPORT MODES BY CONTROL AND RESEARCH EMPHASIS OF INSTITUTIONS

This section examines differences in support patterns between 1995 S&E Ph.D.s who had graduated from public institutions and those from private ones, and between those from Carnegie Research I and other types of academic institutions.

Ph.D. recipients from public institutions on average used about as many support modes as those from private ones. For example, 57 percent of S&E Ph.D.s in public institutions and 58 percent of those in private institutions used one or two modes of support. There were some variations by academic discipline, most notably in psychology (table 8).

The number of funding modes varied for different types of institutions. Students who graduated from Research I institutions—the Nation's largest research performing universities—generally reported using more support modes than those attending other universities (table 9). Fifteen percent of new Ph.D.s in Research I institutions had used only one support mode. By field, proportions ranged from 9 percent in psychology to 26 percent in the agricultural sciences. In comparison, about 20 percent of Ph.D.s from the other institutions had used a single support mode, with a range from 13 percent in the earth, atmospheric, and ocean sciences to 31 percent in the agricultural sciences. In every field displayed in table 9, except the earth, atmospheric, and ocean sciences, the percentage of students using only one mode is smaller in Research I than other institutions. The percentage of students using one or two modes is also smaller in Research I universities for all fields, and the percentage using one, two or three modes is smaller for all except the earth, atmospheric, and ocean sciences and mathematics.

**Table 7. Mean number of support modes and percentages of 1995 S&E Ph.D. recipients citing various numbers of support modes, by field, race/ethnicity, and citizenship**

Race/ethnicity, citizenship and number of modes	Total	Agricultural sciences	Biological sciences	Health sciences	Engineering	Computer & information sciences	Mathematics	Physical sciences	Earth, atmospheric, & ocean sciences	Psychology	Social sciences
Mean number of support modes <sup>1</sup>											
Total.....	2.5	2.1	2.4	2.5	2.3	2.4	2.4	2.5	2.6	2.8	2.9
Asian/Pacific Islander <sup>3</sup> ...	2.1	1.6	2.0	2.0	2.1	2.3	2.0	2.2	1.9	2.8	2.2
Underrepresented minority <sup>3,4</sup> .....	2.8	2.3	2.6	2.7	2.7	3.1	2.9	2.8	2.6	2.8	3.1
White <sup>3</sup> .....	2.7	2.5	2.6	2.6	2.5	2.6	2.7	2.7	2.9	2.9	3.1
Foreign <sup>2</sup> .....	2.1	1.8	2.0	2.2	2.1	2.3	2.1	2.1	2.2	2.4	2.3
Percentages citing number of modes											
Asian/Pacific Islander <sup>3</sup>											
1.....	25	51	34	36	25	17	29	17	40	13	11
2.....	46	36	41	39	47	47	50	56	41	30	42
3.....	20	12	17	17	20	28	15	21	14	34	25
4.....	7	0	6	6	7	7	5	6	5	13	13
5.....	2	0	1	1	1	1	1	1	1	10	6
Underrepresented minority <sup>3,4</sup>											
1.....	10	16	10	13	11	6	13	4	6	11	8
2.....	38	46	42	41	38	24	35	40	50	37	33
3.....	26	30	26	19	30	41	22	32	25	25	22
4.....	17	5	17	19	16	18	13	17	13	16	19
5.....	7	3	3	6	6	6	13	7	6	9	11
White <sup>3</sup>											
1.....	11	13	11	15	14	12	9	7	7	12	10
2.....	37	44	40	36	42	41	41	41	37	31	28
3.....	27	27	27	27	26	28	30	30	30	28	24
4.....	17	10	16	16	14	15	15	16	19	20	22
5.....	6	5	5	5	5	3	4	5	7	8	12
Foreign <sup>2</sup>											
1.....	22	38	30	25	22	13	22	17	23	12	19
2.....	50	48	47	42	53	54	50	55	44	47	43
3.....	21	11	17	24	20	25	21	23	26	31	25
4.....	6	2	5	7	4	7	7	4	5	8	11
5.....	1	0	1	1	0	1	0	0	2	2	2

<sup>1</sup> Means calculated on the basis of all funding modes, not just 5.

<sup>2</sup> Foreign students who were on temporary visas at the time of Ph.D. conferral.

<sup>3</sup> U.S. citizens and permanent residents only.

<sup>4</sup> Underrepresented minorities include blacks, Hispanics, and American Indians/Alaskan Natives.

**NOTE:** Columns may not total 100 percent due to rounding and/or to the exclusion of more than five funding modes. 1,779 Ph.D.s did not report any mode of support. Means and percentages are based on those reporting at least one mode of support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.



**Table 8. Percentages of 1995 S&E Ph.D. recipients using various numbers of support modes, by institutional control and field**

Institutional control and field	Number of support modes				
	1	2	3	4	5
<b>Public institutions</b>					
<b>Total S&amp;E</b> .....	16	41	24	13	4
Agricultural sciences.....	27	45	19	6	3
Biological sciences.....	18	41	24	13	4
Health sciences.....	18	36	26	15	4
Engineering.....	19	47	22	9	2
Computer & information sciences.....	12	46	27	12	2
Mathematics.....	18	45	23	11	3
Physical sciences.....	11	46	26	12	3
Earth, atmospheric, & ocean sciences.....	16	38	27	13	5
Psychology.....	9	31	29	21	9
Social sciences.....	14	35	23	18	8
<b>Private institutions</b>					
<b>Total S&amp;E</b> .....	16	42	24	12	4
Agricultural sciences.....	25	45	20	9	0
Biological sciences.....	22	43	22	11	2
Health sciences.....	20	42	21	10	5
Engineering.....	19	48	22	9	2
Computer & information sciences.....	14	47	28	10	2
Mathematics.....	14	47	28	9	2
Physical sciences.....	12	50	26	9	2
Earth, atmospheric, & ocean sciences.....	13	43	24	15	3
Psychology.....	17	35	26	15	6
Social sciences.....	10	32	26	19	10

**NOTE:** Rows may not total 100 percent due to rounding and/or to the exclusion of more than five funding modes. 1,779 Ph.D.s did not report any mode of support. Percentages are based on those reporting at least one mode of support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table 9. Percentages of 1995 S&E Ph.D. recipients using various numbers of support modes, by Carnegie classification**

Field	Number of support modes				
	1	2	3	4	5
<b>Research I</b>					
<b>Total S&amp;E</b> .....	15	42	25	13	4
Agricultural sciences.....	26	45	20	6	3
Biological sciences.....	17	41	25	13	4
Health sciences.....	16	38	25	15	5
Engineering.....	18	47	23	9	2
Computer & information sciences.....	10	45	29	13	3
Mathematics.....	16	47	24	10	2
Physical sciences.....	11	48	27	11	3
Earth, atmospheric, & ocean sciences.....	16	38	27	13	5
Psychology.....	9	33	27	21	9
Social sciences.....	11	33	24	19	9
<b>Other than Research I</b>					
<b>Total S&amp;E</b> .....	20	41	24	11	4
Agricultural sciences.....	31	44	18	6	1
Biological sciences.....	24	42	21	10	2
Health sciences.....	26	38	25	9	2
Engineering.....	22	48	21	6	2
Computer & information sciences.....	20	47	23	8	2
Mathematics.....	22	42	23	11	2
Physical sciences.....	15	46	26	10	3
Earth, atmospheric, & ocean sciences.....	13	42	25	16	4
Psychology.....	15	32	28	17	7
Social sciences.....	18	37	24	13	6

**NOTE:** Rows may not total 100 percent due to rounding and/or to the exclusion of more than five funding modes.

A total of 1,779 Ph.D.s did not report any mode of support. Percentages are based on those reporting at least one mode of support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

# PREVALENCE AND COMBINATIONS OF SUPPORT MODES

This chapter focuses on the prevalence of support modes and combinations of support modes for the 1995 cohort of S&E Ph.D. recipients. It examines how these combinations vary with the field of study, sex, race/ethnicity, citizenship, and the control and research emphasis of the degree-granting institution. If differences do exist, any policy with respect to graduate support will probably need to take into account these differences in order to accomplish its objectives. Further work may also be needed to determine the reasons for these differences. The chapter also presents the percentage of 1995 S&E Ph.D. recipients reporting each of the seven support modes as one of their modes of support, and as their primary mode of support.

As table 2 (on page 6) indicates, a substantial majority of all 1995 S&E Ph.D. recipients cited RAs and their own funds as modes of support. TAs were reported by about half of all S&E Ph.D. recipients in 1995, and each of the remaining modes of support was noted by less than one-quarter of respondents.

Few S&E doctorate recipients used only one mode of support to fund their graduate education. Five combinations of support modes, out of a possible 127, were reported by just under 40 percent of all new science and engineering Ph.D.s in 1995. About 2,700 new Ph.D.s reported using the RA + TA combination<sup>17</sup>. About 2,500 used the RA + own funds combination. Together, these two combina-

tions accounted for about 20 percent of all responses. They were followed by the RA + TA + own funds combination and RA support by itself. TA + own funds was the fifth most frequently cited support mode (figure 1).

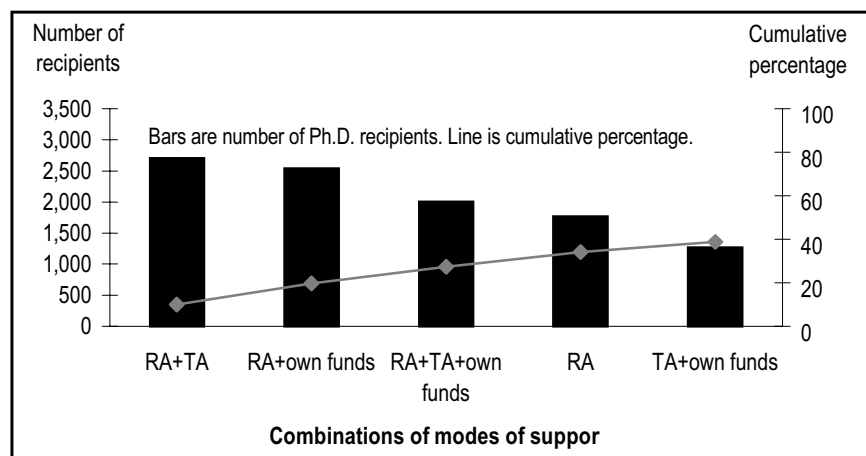
## Guide to Interpreting the Figures

All figures report on the top five combinations of support modes reported by a group. The figures presented in this report plot data on two axes.

The number of doctorates reporting these top five combinations (shown in the bars) is plotted on the left axis. Because the top five combinations differ depending on the group examined, and because the total number of recipients differs by group, the scales for the left axes vary. The bars show which are the top five combinations for a given group and the frequency of use of those combinations. Comparisons between groups (or between figures) can be made concerning which combinations are the top five combinations, not concerning the number of doctorates using particular combinations.

The cumulative percentage of doctorates reporting these combinations corresponds to the right axis and is plotted as a line. Comparisons between groups (or between figures) can be made concerning the percentage of doctorates using the top five combinations of support modes.

**Figure 1. Top five combinations of modes of support reported by 1995 S&E Ph.D. recipients**



**NOTE:** RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

<sup>17</sup>Order does not imply anything in combinations of support modes.

The following sections examine how use of the various support modes differs by demographic and institutional characteristics.

## SEX, RACE/ETHNICITY, AND CITIZENSHIP

### SEX

#### Any and Primary Support

Among 1995 S&E doctorates, women were more likely than men to have used traineeships, their own funds, or loans. Men were more likely than women to have reported support in the form of RAs. Women and men cited fellowships, TAs, and “other” modes for their support in graduate school to similar degrees (table 10). Most—though not all—of these apparent differences in use of students’ own funds and RAs are related to differences in field of doctorate. Women were more likely than men to have earned doctorates in psychology or the health sciences—fields in which use of one’s own funds is common. Men were more likely to earn Ph.D.s in engineering and the physical sciences—fields in which use of RAs is common. Within most fields, differences between women and men in primary mode of support were not great. For example, own funds in psychology was cited as primary by 45 percent of women and 42 percent of men. In engineering, 58 percent of women and 55 percent of men reported RAs as their primary mode of support. In the physical sciences, 55 percent of women and 57 percent of men reported RAs as their primary mode of support (table 10).

However, differences in primary support between women and men remain large in the health sciences and computer and information sciences. Women were far more likely than men to use their own funds (58 percent versus 33 percent in the health sciences, and 35 percent versus 22 percent in the computer and information sciences). They were also far less likely than men to use RAs (12 percent versus 26 percent in the health sciences and 30 percent versus 42 percent in the computer and information sciences).

#### Combinations of Support Modes

The combinations of various support modes also differ by sex and by field. While the three most prevalent combinations of support for women and men are identical, for women own funds and RA were the fourth and fifth most frequently reported modes; for men, RA and

TA + own funds were the fourth and fifth most frequently reported modes. The top five support modes for women accounted for 31 percent of respondents; the men’s top five accounted for 44 percent of them (figures 2 and 3).

These patterns are influenced by the differential distribution by sex across the various S&E fields of study.<sup>18</sup> For example, in psychology, the field in which 26 percent of women (and 7 percent of men) receiving S&E doctorate degrees received their degree in 1995, own funds and own funds + loan were the two top support combinations for both women and men (table 11). These differences in field distribution most likely explain why own funds is the fourth most frequently reported combination for women.

However, the distribution across fields by sex does not entirely explain the overall results since combinations of support modes do differ by sex within some fields as well. In the health sciences, a field predominated by women, 12 percent of women and 6 percent of men reported using their own funds as their sole mode of support. In mathematics, women and men have the same top four combinations of support—RA + TA, TA + own funds, RA + TA + own funds, and TA alone. The predominant combination for men was RA + TA; the predominant combination for women was TA + own funds. Similarly, in the earth, atmospheric and ocean sciences, women and men shared the same top four combinations, but the predominant combination for women was RA + TA + own funds and the predominant combination for men was RA + own funds.

In other fields—e.g., the social sciences, computer and information sciences, physical sciences, biological sciences, and engineering—the combinations of support modes were similar for women and men. In the social sciences, the top five combinations for men and women were identical. In engineering, the physical sciences, and the biological sciences, RA, RA + TA, RA + own funds, and RA + TA + own funds were prevalent combinations for both women and men.

## RACE/ETHNICITY AND CITIZENSHIP STATUS

This section examines the variations in support modes by the new S&E Ph.D.s race/ethnicity and citizenship. The race/ethnicity and citizenship groups are divided into three discrete race/ethnicity categories for U.S. citizens and permanent residents only plus one foreign category, as follows:

<sup>18</sup>See NSF 1996c for tables showing the 1995 distribution of field by sex.

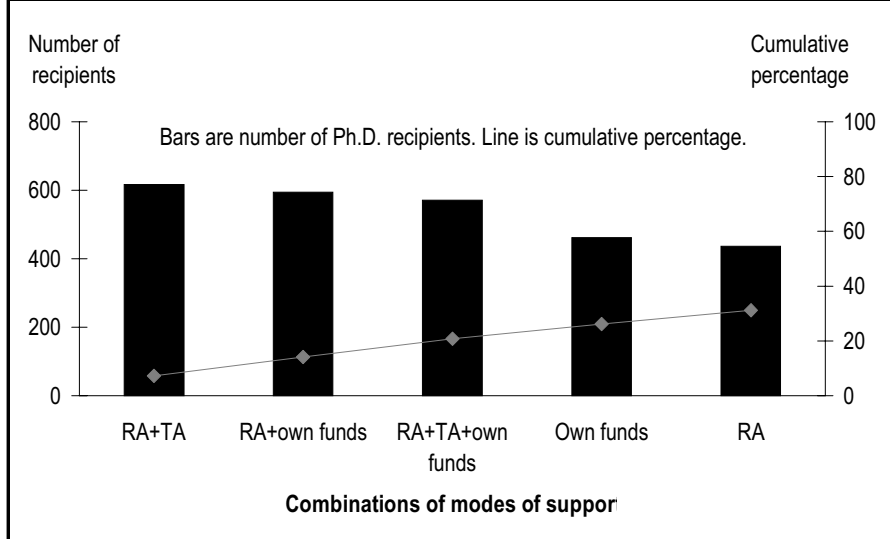
**Table 10. Percentages of 1995 S&E Ph.D. recipients citing any and primary support mode, by major field of study, support mode, and sex**

Field	Support mode	Percentage any support		Percentage primary support		Field	Support mode	Percentage any support		Percentage primary support	
		Female	Male	Female	Male			Female	Male	Female	Male
Total S&E	Fellowship.....	9	6	4	3	Mathematics	Fellowship.....	7	5	3	3
	Traineeship.....	26	19	11	7		Traineeship.....	20	20	4	4
	Research assistantship...	60	69	30	42		Research assistantship...	45	48	12	15
	Teaching assistantship...	51	51	16	18		Teaching assistantship...	89	84	62	60
	Own funds.....	68	58	28	18		Own funds.....	56	46	13	10
	Loans.....	27	17	4	1		Loans.....	10	11	0	0
	Other.....	26	23	8	10		Other.....	19	20	6	8
Agricultural sciences	Fellowship.....	7	5	5	3	Physical sciences	Fellowship.....	7	5	3	3
	Traineeship.....	12	8	2	3		Traineeship.....	16	14	6	3
	Research assistantship...	75	73	49	53		Research assistantship...	86	86	55	57
	Teaching assistantship...	22	18	7	3		Teaching assistantship...	75	72	23	22
	Own funds.....	61	57	17	17		Own funds.....	41	41	8	8
	Loans.....	16	16	2	1		Loans.....	15	12	0	0
Other.....	33	32	18	19	Other.....	19	14	6	6		
Biological sciences	Fellowship.....	8	7	4	4	Earth, atmospheric & ocean sciences	Fellowship.....	15	5	5	2
	Traineeship.....	36	33	21	19		Traineeship.....	16	15	4	4
	Research assistantship...	68	67	41	40		Research assistantship...	85	81	54	51
	Teaching assistantship...	42	41	13	14		Teaching assistantship...	54	47	12	13
	Own funds.....	53	53	14	14		Own funds.....	57	59	14	19
	Loans.....	19	18	1	1		Loans.....	20	15	0	0
Other.....	20	19	6	8	Other.....	31	29	12	11		
Health sciences	Fellowship.....	5	5	1	2	Psychology	Fellowship.....	4	3	2	2
	Traineeship.....	32	20	11	9		Traineeship.....	20	20	7	7
	Research assistantship...	43	53	12	26		Research assistantship...	45	48	15	17
	Teaching assistantship...	29	40	5	17		Teaching assistantship...	49	52	13	17
	Own funds.....	87	72	58	33		Own funds.....	87	84	45	42
	Loans.....	23	21	2	3		Loans.....	50	52	11	9
Other.....	36	31	10	12	Other.....	26	25	7	6		
Engineering	Fellowship.....	15	4	8	2	Social sciences	Fellowship.....	17	11	5	3
	Traineeship.....	18	11	6	3		Traineeship.....	33	29	12	11
	Research assistantship...	82	78	58	55		Research assistantship...	49	43	14	14
	Teaching assistantship...	43	41	7	10		Teaching assistantship...	64	62	25	28
	Own funds.....	51	57	10	16		Own funds.....	78	73	34	31
	Loans.....	10	9	0	1		Loans.....	32	26	3	2
Other.....	25	24	11	13	Other.....	32	31	7	10		
Computer & information sciences	Fellowship.....	11	6	5	3						
	Traineeship.....	19	13	6	3						
	Research assistantship...	69	71	30	42						
	Teaching assistantship...	55	56	16	20						
	Own funds.....	66	61	35	22						
	Loans.....	9	9	1	0						
Other.....	29	25	8	10							

**NOTE:** Primary support columns may not total 100 percent due to rounding. 6,621 Ph.D.s did not report a primary mode of support and, of these, 1,779 did not report any mode of support. Percentages are based on actual responses. The nonresponse rate was 4 percent for any support and 24 percent for primary support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

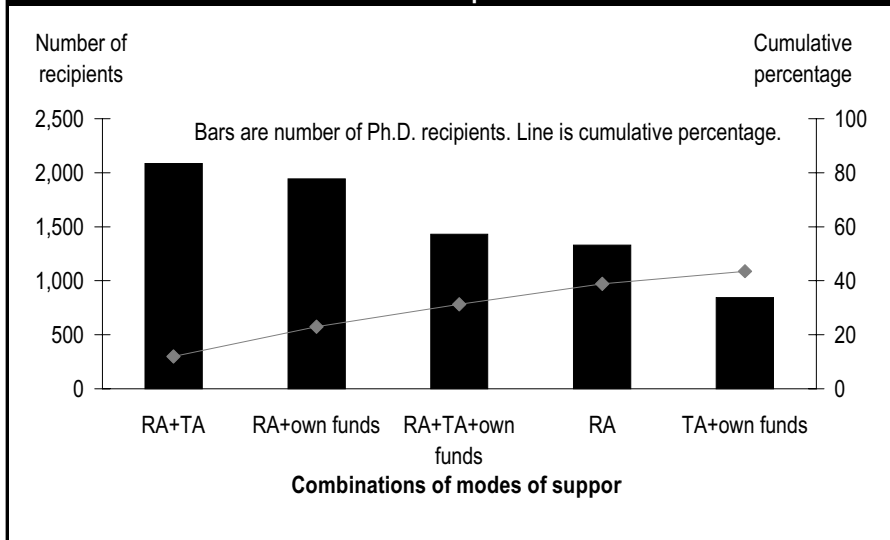
**Figure 2. Top five combinations of modes of support reported by female 1995 S&E Ph.D. recipients**



**NOTE:** RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Figure 3. Top five combinations of modes of support reported by male 1995 S&E Ph.D. recipients**



**NOTE:** RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table 11. Percentages of 1995 S&E Ph.D. recipients, by selected combinations of support modes, sex, and field**

Field	Sex	Own funds	Own funds + Other	Trainee-ship + Own funds	RA + Own funds	RA + TA + Own funds	TA + Own funds	Own funds + Loan	Other	RA + TA + Own funds + Other	RA + Own funds + Loan	RA	TA + Own funds + Loan	RA + TA	RA + TA + Own funds + Loan	Trainee-ship + RA	RA + Other	Trainee-ship - TA
Agricultural sciences.....	F	3	3	0	23	4	1	0	6	2	6	11	0	3	1	1	5	
	M	3	5	1	22	3	1	1	8	1	4	15	1	4	2	1	6	
Biological sciences.....	F	2	2	4	9	6	3	0	1	2	2	10	1	7	2	4	2	
	M	2	3	4	10	6	3	1	2	1	2	9	1	8	2	4	2	
Health sciences.....	F	12	11	8	7	4	3	3	3	2	2	2	2	1	1	1	1	
	M	6	6	2	10	6	5	3	4	2	1	8	3	4	2	1	2	
Engineering.....	F	1	2	0	14	6	2	0	2	2	1	12	0	12	2	3	3	
	M	3	5	1	18	10	3	0	4	2	2	11	0	12	2	2	4	
Computer/information sciences.....	F	4	5	2	7	11	7	1	1	5	0	6	1	13	1	2	3	
	M	5	5	0	12	12	6	0	2	3	2	4	1	14	2	2	3	
Mathematics.....	F	2	2	0	2	9	20	0	0	2	0	2	2	14	2	1	0	
	M	1	2	1	2	8	13	0	2	1	0	1	2	16	2	1	1	
Physical sciences.....	F	0	1	0	6	11	2	0	1	3	0	7	1	26	3	2	2	
	M	1	1	0	8	12	3	0	1	2	1	8	0	29	3	1	1	
Earth, atmospheric & ocean sciences.....	F	3	1	2	6	11	1	0	1	4	4	10	0	9	4	2	5	
	M	2	4	1	14	9	3	1	3	4	2	10	1	11	2	2	3	
Psychology.....	F	10	4	2	4	6	6	10	1	1	3	0	5	2	6	0	0	
	M	8	3	2	4	5	5	9	1	1	5	1	6	3	8	1	1	
Social sciences.....	F	6	5	2	4	5	9	1	1	2	1	1	2	3	3	1	1	
	M	6	5	2	5	5	10	1	3	2	1	2	3	3	3	1	1	

**NOTE:** Rows do not add to 100 percent because only selected combinations of support modes are shown. 1,779 Ph.D.s did not report any mode of support. Percentage at least one mode of support. Combinations selected are those which include the top five combinations for any field. No combinations representing 5 percent or from this table.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

- U.S. citizens and permanent residents:
  - white, non-Hispanic;
  - Asian (Asian or Pacific Islander); or
  - underrepresented minority (black, non-Hispanic; Hispanic; and American Indian or Alaskan Native);
- foreign students (persons on temporary visas).

Patterns of support for S&E doctorate recipients by race/ethnicity reflect differences in eligibility for various support modes. Support patterns in S&E for Asians<sup>19</sup> and foreign students on temporary visas are similar and patterns for whites and underrepresented minorities are similar. Asians and foreign students on temporary visas are similar because a large proportion of the Asian group, especially Chinese students, are permanent residents who may have entered graduate school on temporary visas.

### Any Support

Higher percentages of Asians and foreign students reported use of RAs as *one* of their modes of support than other groups of Ph.D. recipients. Nearly 8 of 10 Ph.D. recipients of Asian background reported having some RA support (table 12). Similarly, 71 percent of foreign students received RAs. Asians and foreign students were less likely than other students to report use of own funds, loans, fellowships, and traineeships. Foreign students differed from Asians in that a higher percentage of foreign students than of Asians reported use of own funds and “other” support (which includes support from foreign governments) and foreign students were the least likely of any group to use loans.<sup>20</sup>

The support mode identified as *one* of the modes of support by the largest percentage of both underrepresented minorities and whites was their own funds, 67 and 72 percent, respectively. Although RAs were the second largest support mode reported by both of these two groups, substantially smaller proportions of whites or underrepresented minorities reported having RAs than did either Asians or foreign students. Whites and underrepresented minorities were also much more likely to report the use of loans than were Asians or foreign

students. Underrepresented minorities were most likely of any racial/ethnic group to report the use of both fellowships and traineeships.

The overall patterns of support for the various racial/ethnic groups are also generally reflected in individual S&E fields. In all S&E fields, use of some loan funds is far more prevalent among both whites and underrepresented minorities than among Asians or foreign students. Also, in all S&E fields use of loans is more prevalent among underrepresented minorities than it is among whites (although some differences are small).<sup>21</sup> The use of loans was least likely to be reported by foreign students in every field except the agricultural and earth, atmospheric, and ocean sciences.

In every field except the agricultural sciences, biological sciences, and mathematics, underrepresented minorities reported less use of RAs than the other three groups. In contrast, a higher percentage of underrepresented minorities reported using fellowships and traineeships than any other group in almost every major field of study. (The exception was fellowships in the earth, atmospheric, and ocean sciences, where whites reported the greatest use.) Asians reported the greatest use of RAs in every field except for the computer and information sciences and psychology; in these fields, foreign students had higher RA usage than Asians.

### Primary Support<sup>22</sup>

Use of various *primary* support modes follows the same patterns noted above for *any* use of the various support modes. Over half of Asian S&E doctorate recipients, and nearly half of foreign students, reported RAs as their primary mode of support; this compares with fewer than one-third of whites and about one-fifth of underrepresented minorities. In contrast, whites and underrepresented minorities were more than twice as likely to report that own funds were their primary mode of support as were Asians or foreign students. Table 12 details the primary mode of support reported by these race/ethnicity and citizenship groups. RAs are the most frequently cited primary mode for each group except for underrepresented minorities: they most frequently cited use of their own funds.

<sup>19</sup>See “Asian S&E Ph.D. Recipients—U.S. Citizens Compared to Permanent Residents” on page 23 for a cautionary note on how one should interpret the comparisons across race/ethnicity and citizenship classifications.

<sup>20</sup>Most foreign students on temporary visas are not eligible for many Federal loan programs.

<sup>21</sup>For information about indebtedness at the time of receipt of the doctorate by race/ethnicity, see NSF 1999b.

<sup>22</sup>Because nonresponse to primary source of support was high and varied somewhat between groups (see table A2), the reader is cautioned that some of the differences between groups in primary support may be due to differences in nonresponse.



**Table 12. Percentages of 1995 S&E Ph.D. recipients citing any and primary support mode, by major field of study, support mode, citizenship, and racial/ethnic background of U.S. citizens and permanent residents**

Field	Support mode	Percentage any support				Percentage primary support			
		Asian/ Pacific Islander <sup>1</sup>	Under- represented minority <sup>1,2</sup>	White <sup>1</sup>	Foreign on temporary visa <sup>3</sup>	Asian/ Pacific Islander <sup>1</sup>	Under- represented minority <sup>1,2</sup>	White <sup>1</sup>	Foreign on temporary visa <sup>3</sup>
Total S&E	Fellowship.....	5	16	8	4	2	11	4	1
	Traineeship.....	18	35	25	13	8	18	9	5
	Research assistantship....	79	50	61	71	55	21	31	47
	Teaching assistantship....	54	44	52	50	21	12	16	21
	Own funds.....	40	67	72	49	10	24	29	11
	Loans.....	7	40	31	1	1	6	3	0
	Other.....	13	26	26	25	4	9	8	15
Agricultural sciences	Fellowship.....	5	11	5	6	3	15	2	5
	Traineeship.....	3	14	13	5	0	12	4	1
	Research assistantship....	91	70	76	68	84	35	54	45
	Teaching assistantship....	12	30	26	12	2	8	6	2
	Own funds.....	30	51	77	43	6	19	26	8
	Loans.....	1	30	29	2	0	0	1	1
	Other.....	19	27	25	43	5	12	7	39
Biological sciences	Fellowship.....	6	18	9	4	3	12	4	2
	Traineeship.....	31	44	39	20	21	19	22	13
	Research assistantship....	76	65	64	68	54	38	35	47
	Teaching assistantship....	39	37	43	39	12	10	13	17
	Own funds.....	32	52	63	42	6	12	19	6
	Loans.....	6	30	27	1	0	2	1	0
	Other.....	10	17	21	25	3	7	6	15
Health sciences	Fellowship.....	1	9	5	4	0	7	1	2
	Traineeship.....	19	37	31	16	10	18	10	8
	Research assistantship....	68	35	43	58	46	11	13	24
	Teaching assistantship....	28	33	34	33	8	8	8	16
	Own funds.....	56	86	89	63	25	42	58	26
	Loans.....	10	38	27	3	4	4	2	1
	Other.....	17	31	35	41	6	8	8	24
Engineering	Fellowship.....	4	18	9	2	2	14	5	1
	Traineeship.....	10	30	17	7	2	13	4	1
	Research assistantship....	87	64	71	82	68	27	46	62
	Teaching assistantship....	45	34	39	43	11	5	7	12
	Own funds.....	46	64	66	52	12	21	20	12
	Loans.....	5	23	19	1	0	0	1	0
	Other.....	14	36	33	21	5	20	16	12
Computer & information sciences	Fellowship.....	5	41	9	3	2	29	4	1
	Traineeship.....	15	24	17	10	0	7	5	3
	Research assistantship....	69	47	66	79	48	0	31	50
	Teaching assistantship....	57	47	49	66	20	7	14	27
	Own funds.....	57	71	74	49	23	21	35	10
	Loans.....	7	35	14	2	0	14	0	0
	Other.....	19	47	30	22	8	21	11	10

See NOTE and SOURCE at end of table.

**Table 12. Percentages of 1995 S&E Ph.D. recipients citing any and primary support mode, by major field of study, support mode, citizenship, and racial/ethnic background of U.S. citizens and permanent residents**

Field	Support mode	Percentage any support				Percentage primary support			
		Asian/ Pacific Islander <sup>1</sup>	Under- represented minority <sup>1, 2</sup>	White <sup>1</sup>	Foreign on temporary visa <sup>3</sup>	Asian/ Pacific Islander <sup>1</sup>	Under- represented minority <sup>1, 2</sup>	White <sup>1</sup>	Foreign on temporary visa <sup>3</sup>
Mathematics	Fellowship.....	2	18	8	3	1	11	5	0
	Traineeship.....	14	41	22	19	2	11	4	6
	Research assistantship....	52	45	45	47	14	17	13	16
	Teaching assistantship....	91	73	85	83	78	39	54	63
	Own funds.....	28	59	62	40	4	22	17	4
	Loans.....	2	23	20	1	0	0	0	0
	Other.....	8	32	24	20	2	0	7	12
Physical sciences	Fellowship.....	2	18	8	2	1	12	4	0
	Traineeship.....	13	28	17	10	3	13	4	2
	Research assistantship....	91	71	85	87	65	36	53	61
	Teaching assistantship....	76	69	73	70	26	22	19	27
	Own funds.....	25	53	50	34	4	6	11	4
	Loans.....	3	26	22	0	0	2	0	0
	Other.....	6	18	20	11	2	8	7	6
Earth, atmospheric & ocean sciences	Fellowship.....	4	6	9	6	0	8	4	0
	Traineeship.....	10	31	17	13	5	8	3	5
	Research assistantship....	94	69	81	77	77	31	46	54
	Teaching assistantship....	35	50	57	36	10	8	14	13
	Own funds.....	31	56	68	50	7	23	22	9
	Loans.....	2	25	23	2	0	8	0	0
	Other.....	11	25	31	36	1	15	11	19
Psychology	Fellowship.....	3	10	2	5	1	8	1	0
	Traineeship.....	17	33	19	18	7	22	5	10
	Research assistantship....	60	35	45	62	23	9	16	26
	Teaching assistantship....	54	37	51	51	27	7	14	26
	Own funds.....	76	79	89	71	26	32	47	26
	Loans.....	38	57	53	4	9	15	11	1
	Other.....	32	26	26	30	7	8	6	11
Social sciences	Fellowship.....	13	23	14	9	4	9	4	3
	Traineeship.....	30	38	33	22	12	20	11	10
	Research assistantship....	54	39	45	44	19	5	14	17
	Teaching assistantship....	71	54	64	60	39	18	25	30
	Own funds.....	61	74	83	63	21	32	39	22
	Loans.....	17	53	40	1	2	11	3	0
	Other.....	22	29	31	35	4	6	5	19

<sup>1</sup> U.S. citizens and permanent residents only.

<sup>2</sup> Underrepresented minorities include blacks, Hispanics, and American Indians/Alaskan Natives.

<sup>3</sup> Foreign students who were on temporary visas at the time of Ph.D. conferral.

**NOTE:** Primary support columns may not total 100 percent due to rounding. 6,621 Ph.D.s did not report a primary mode of support and, of these, 1,779 did not report any mode of support. Percentages are based on actual responses. The nonresponse rate was 4 percent for any support and 24 percent for primary support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

### Asian S&E Ph.D. Recipients—U.S. Citizens Compared to Permanent Residents

The analysis of 1995 data on Asian U.S. citizen and permanent resident S&E Ph.D.s is complicated by the Chinese Student Protection Act of 1992. The Act allowed Chinese students to apply for permanent residency in 1993. As a result the number of Asian U.S. citizen plus permanent resident S&E Ph.D.s in 1995 is higher than it would have been had this Act not been passed. In fact, only 24 percent of the 1995 doctoral recipients in this combined group were U.S. citizens while the remaining 76 percent were permanent residents.<sup>23</sup> Seventy-seven percent of those permanent residents were from the People's Republic of China.

Table 13 indicates that the primary support patterns of Asian U.S. citizen and Asian permanent resident S&E Ph.D.s differ rather substantially. A comparison of table 13 and table 12 indicates that the former group has patterns which are more like those of the white U.S. citizens plus permanent resident group, while the latter group has patterns more like the foreigners on temporary visas. Therefore, these distinctions should be kept in mind when interpreting the results of this study.

**Table 13. Percentages of permanent resident and U.S. citizen Asian/Pacific Islander 1995 S&E Ph.D. recipients by primary support mode**

Support mode	Percentage primary support	
	Asian/Pacific Islander permanent resident <sup>1</sup>	Asian/Pacific Islander U.S. citizen
Fellowship.....	1	5
Traineeship.....	6	14
Research assistantship.....	61	39
Teaching assistantship.....	23	14
Own funds.....	7	17
Loans.....	0	2
Other.....	2	7

<sup>1</sup> See box above for the influence of the Chinese Student Protection Act of 1992 on numbers of Asian/Pacific Islander permanent residents.

**NOTE:** The 949 U.S. citizen and permanent resident Asian or Pacific Islander Ph.D.s not reporting a primary mode of support were excluded from this table. Percentages are based on those reporting a primary mode of support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

Some of these variations in modes of support reflect field differences among groups. For example, appendix table A4 shows that most Asian students received their Ph.D.s in engineering (27 percent), the biological sciences (25 percent), or the physical sciences (20 percent). Each of these three fields showed a large percentage of students citing RAs as a primary or secondary mode of support. By comparison, 24 percent of Ph.D.s granted to underrepresented minorities were in psychology and 20 percent in the social sciences. Those two fields were among those with the smallest percentages of students reporting that RAs were either their primary or secondary mode of support.

Despite differences in racial/ethnic distributions across fields, groups vary in mode of support within major fields of study (table 12). In every major field of study, a larger percentage of both underrepresented minorities and whites report using their own funds and loans as *one* of their modes of support than do Asians or foreign students. Similarly in all major fields of study, with the exception of the computer and information sciences, a larger percentage of underrepresented minorities and whites than of Asians and foreign students reported that their own funds and loans were their *primary* source of support. The differences in the percentage reporting any support from own funds and—especially—loans between the underrepresented minority and white groups on the one hand, and the Asian and foreign student groups on the other, are generally much larger than the differences in the percentages reporting own funds and loans as their *primary* mode of support.

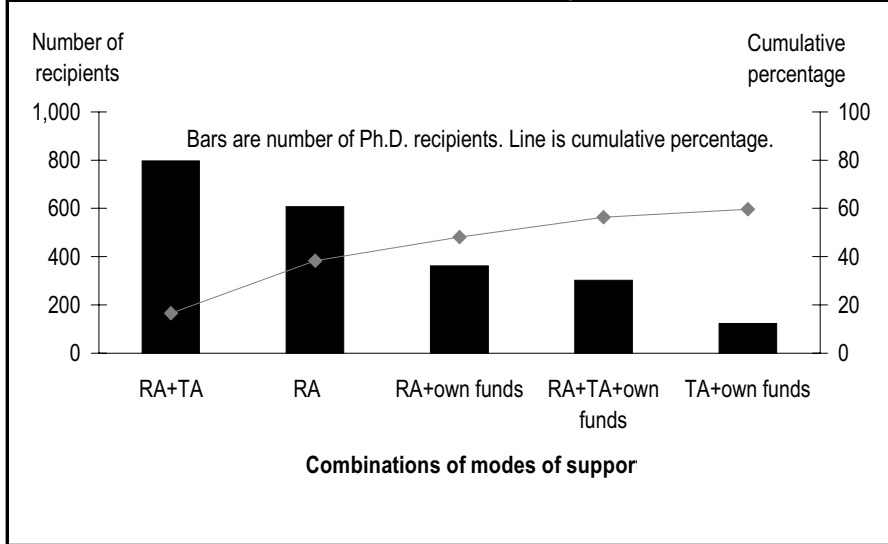
### Combinations of Support Modes

An examination of the combinations of support shows that almost 40 percent of Asians received their support from either the RA + TA combination or from RAs alone (figure 4). The top five combinations for Asians accounted for the support of about 60 percent of Asian Ph.D.s.

Each of the top five combinations of modes of support for underrepresented minorities involves using their own resources (figure 5); no other group shows such extensive reliance on own funds in their top five combinations of support. These top five support combinations provided support for 22 percent of underrepresented minority Ph.D. recipients. In fact, the top 10 combinations provided support for 37 percent, far below the numbers for other groups, which ranged from 48 to 75 percent.

<sup>23</sup>In 1992, 49 percent of this combined group were U.S. citizens.

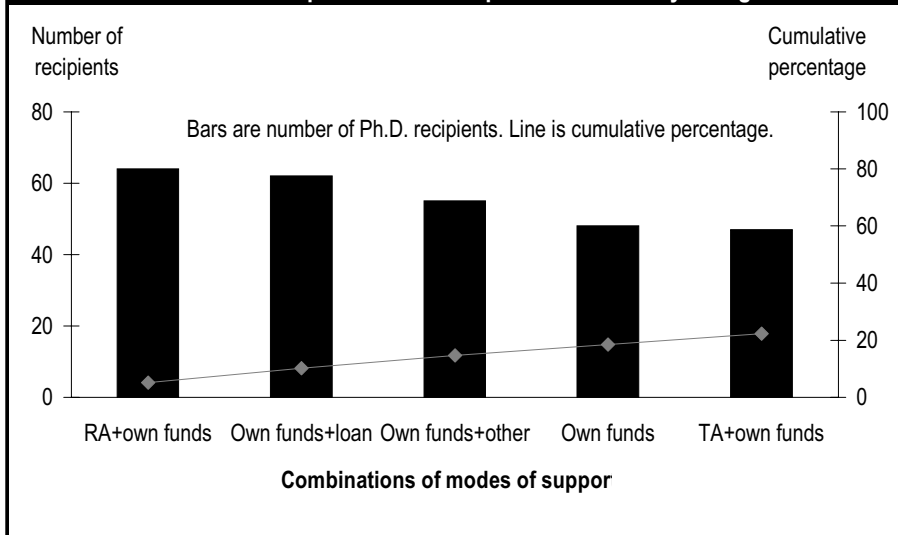
**Figure 4. Top five combinations of modes of support reported by Asian/Pacific Islander 1995 S&E Ph.D. recipients**



**NOTES:** Only U.S. citizens and permanent residents are included in this figure. RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Figure 5. Top five combinations of modes of support reported by 1995 S&E Ph.D. recipients of underrepresented minority background**



**NOTES:** Only U.S. citizens and permanent residents are included in this figure. The underrepresented minority group includes blacks, Hispanics, and American Indians/Alaskan Natives. RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

For white Ph.D. recipients (figure 6), as for underrepresented minorities, RA + own funds was the most frequently used combination. Also, like underrepresented minorities, whites relied heavily on own funds in the top five combinations of modes of support.

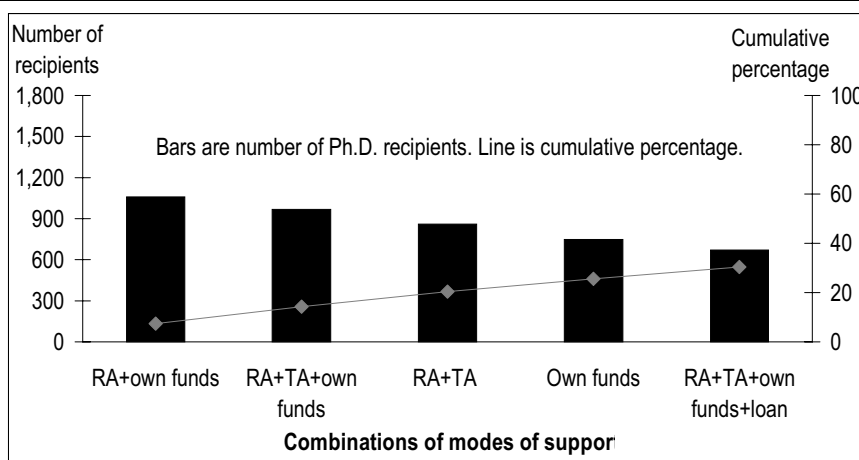
Whites are also similar to Asian and foreign students in use of RAs in four of the top five combinations and in use of TAs in three of the top five combinations. The top five combinations provided support for 30 percent of white Ph.D. recipients. The top 10 combinations provide funding for 48 percent of whites.

The RA + own funds combination provided funding for approximately 15 percent of S&E Ph.D. recipients who are not U.S. citizens, slightly more than the RA + TA combination (figure 7). The top five combinations account for the support of 57 percent of these S&E Ph.D.s.

## INSTITUTIONAL CHARACTERISTICS

This section examines how support patterns differ based on the type of institutional control—public or private, and on research emphasis as determined by Carnegie classification.

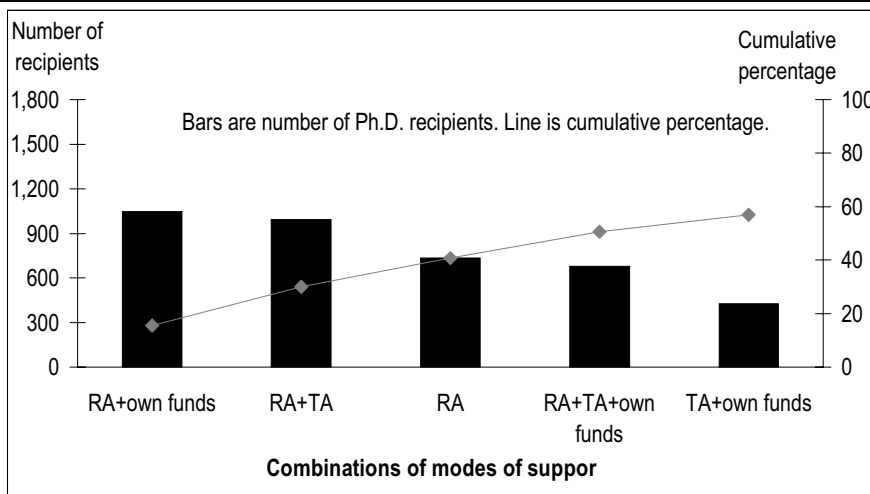
**Figure 6. Top five combinations of modes of support reported by white 1995 S&E Ph.D. recipients**



**NOTE:** Only U.S. citizens and permanent residents are included in this figure. RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Figure 7. Top five combinations of modes of support reported by 1995 S&E Ph.D. recipients on temporary visas**



**NOTE:** RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies. Survey of Earned Doctorates.

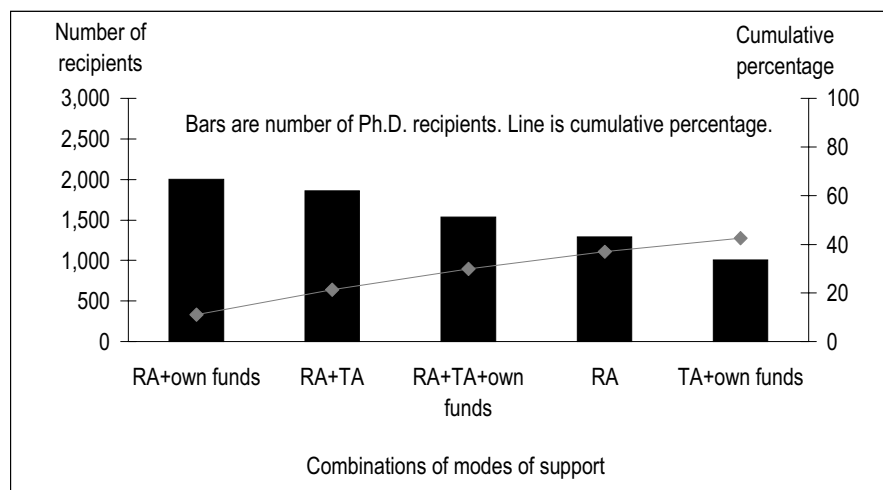
## INSTITUTIONAL CONTROL

Support patterns show little variation between publicly and privately controlled institutions. As table 14 shows, there is more similarity than difference in how students in the two types of institutions fund their graduate education. In both types of institutions, RAs are the most frequently used support mode, with students' own funds the next most frequent, followed by TAs.

In both types of institutions, over half of the new Ph.D.s reported RAs and use of their own funds among

their support modes. In public institutions, half also reported TAs as a mode of support. Graduate fellowships (nationally-competitive) were infrequently reported in either type of institution, but were cited less in public than in private ones. The top four combinations are the same for both types of institutions, with only the order and level varying (figures 8 and 9). The fifth most prevalent combination in public institutions was TA + own funds; the fifth most prevalent combination in private institutions was own funds. The top five combinations in private institutions were used by 33 percent of the doctoral recipients compared with 43 percent in public institutions.

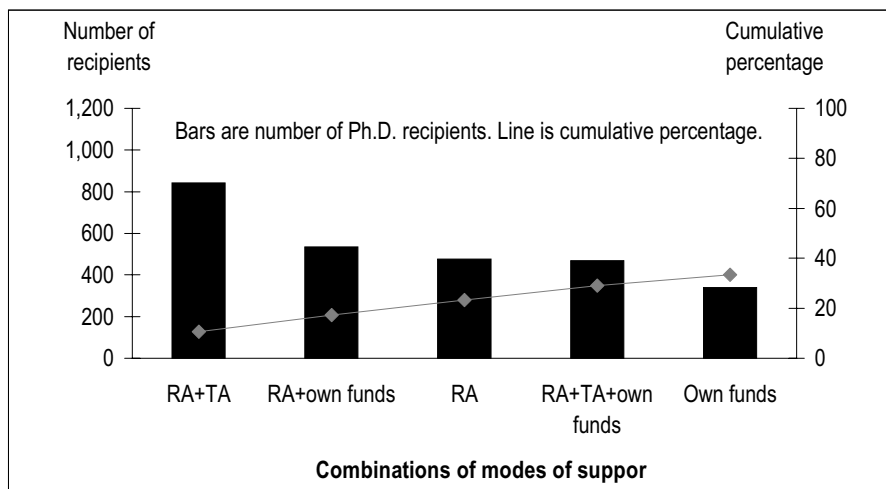
**Figure 8. Top five combinations of modes of support reported by 1995 S&E Ph.D. recipients in public institutions**



**NOTE:** RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Figure 9. Top five combinations of modes of support reported by 1995 S&E Ph.D. recipients in private institutions**



**NOTE:** RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table 14. Percentages of 1995 S&E Ph.D. recipients citing any and primary support mode, by institutional control, major field of study, and support mode**

Field	Support mode	Percentage any support		Percentage primary support		Field	Support mode	Percentage any support		Percentage primary support	
		Public	Private	Public	Private			Public	Private	Public	Private
Total S&E	Fellowship.....	6	10	2	5	Mathematics	Fellowship.....	4	9	2	5
	Traineeship.....	19	27	6	13		Traineeship.....	17	27	3	8
	Research assistantship...	68	60	40	34		Research assistantship...	44	54	12	20
	Teaching assistantship...	53	47	20	13		Teaching assistantship...	88	79	65	51
	Own funds.....	62	58	22	20		Own funds.....	51	43	12	7
	Loans.....	20	21	1	3		Loans.....	11	9	0	0
	Other.....	23	26	9	10		Other.....	20	18	7	9
Agricultural sciences	Fellowship.....	5	16	3	16	Physical sciences	Fellowship.....	4	8	2	5
	Traineeship.....	8	18	3	7		Traineeship.....	14	16	3	5
	Research assistantship...	74	67	53	36		Research assistantship...	86	87	55	59
	Teaching assistantship...	19	25	4	7		Teaching assistantship...	74	69	25	17
	Own funds.....	59	33	17	7		Own funds.....	44	35	9	6
	Loans.....	16	15	1	2		Loans.....	15	9	0	0
	Other.....	32	38	19	27		Other.....	15	16	5	7
Biological sciences	Fellowship.....	6	10	3	6	Earth, atmospheric & ocean sciences	Fellowship.....	7	11	2	5
	Traineeship.....	28	49	14	33		Traineeship.....	14	22	3	8
	Research assistantship...	71	57	44	33		Research assistantship...	81	83	52	51
	Teaching assistantship...	46	32	16	8		Teaching assistantship...	49	49	13	11
	Own funds.....	56	47	15	11		Own funds.....	61	50	19	11
	Loans.....	20	15	1	1		Loans.....	16	15	0	0
	Other.....	19	19	7	9		Other.....	30	28	10	14
Health sciences	Fellowship.....	4	7	1	1	Psychology	Fellowship.....	3	3	2	2
	Traineeship.....	27	32	9	12		Traineeship.....	22	16	7	7
	Research assistantship...	50	35	18	12		Research assistantship...	54	32	20	9
	Teaching assistantship...	34	27	11	4		Teaching assistantship...	59	36	19	7
	Own funds.....	82	80	48	53		Own funds.....	84	90	40	52
	Loans.....	21	24	2	5		Loans.....	47	56	6	18
	Other.....	34	37	11	11		Other.....	26	26	7	5
Engineering	Fellowship.....	5	7	2	5	Social sciences	Fellowship.....	10	19	3	6
	Traineeship.....	11	14	3	4		Traineeship.....	25	40	6	20
	Research assistantship...	79	78	56	56		Research assistantship...	47	41	16	12
	Teaching assistantship...	41	42	10	9		Teaching assistantship...	65	58	31	20
	Own funds.....	59	49	18	10		Own funds.....	76	74	34	30
	Loans.....	10	8	1	0		Loans.....	28	29	2	2
	Other.....	23	29	11	16		Other.....	29	36	8	10
Computer & information sciences	Fellowship.....	6	9	2	6						
	Traineeship.....	13	16	3	5						
	Research assistantship...	72	68	39	42						
	Teaching assistantship...	60	48	22	12						
	Own funds.....	62	62	25	22						
	Loans.....	8	9	0	0						
Other.....	25	27	9	13							

**NOTE:** Primary support columns may not total 100 percent due to rounding. A total of 6,621 Ph.D.s did not report a primary mode of support and, of these, 1,779 did not report any mode of support. Percentages are based on actual responses. The nonresponse rate was 4 percent for any support and 24 percent for primary support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

## CARNEGIE INSTITUTIONAL CLASSIFICATION

Academic institutions were divided into the largest research-performing universities (Research I institutions; see Appendix A) and all other institutions in order to examine how institutions that differ in terms of research emphasis vary in terms of modes of support used by their students.

Table 15 shows that 1995 S&E Ph.D.s from Research I institutions were less likely to report their own funds and more likely to report RAs than doctorates from other types of institutions. Fifty-eight percent of those in Research I institutions and 68 percent of those from other institutions used their own funds. Seventy percent of S&E Ph.D recipients from Research I institutions received support via an RA, while slightly more than half of those from other institutions received support in the form of an RA. These patterns hold for almost all S&E fields. Those

in Research I institutions were also somewhat more likely to have held fellowships or traineeships or to have served as teaching assistants.

For doctorates from non-Research I institutions, RA + own funds was the most frequently cited mode of support, whereas the RA + TA combination was the most frequently cited one at Research I institutions (figures 10 and 11). An examination of the combinations of support used by students in the Research I institutions versus all others shows some similarities and some differences. Four of the top five combinations of modes of support—RA + TA, RA + own funds, RA + TA + own funds, and TA + own funds—are identical for both types of institutions. Own funding is important at both types of institutions but less so at Research I institutions, where it is an element of three of the five top combinations of support modes, compared with four of the top five at the other institutions. Own funds only is the third most prevalent combination of support at non-Research I institutions.



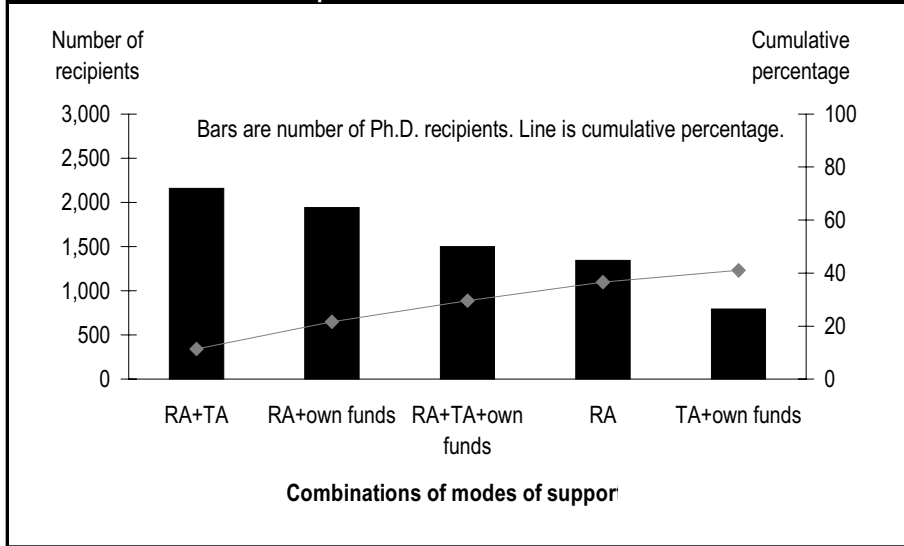
**Table 15. Percentages of 1995 S&E Ph.D. recipients citing any and primary support mode, by Carnegie classification, major field of study, and support mode**

Field	Support mode	Percentage any support		Percentage primary support		Field	Support mode	Percentage any support		Percentage primary support	
		Research I	All others	Research I	All others			Research I	All others	Research I	All others
		Total S&E	Fellowship.....	8	3			4	1	Mathematics	Fellowship.....
	Traineeship.....	24	16	9	6		Traineeship.....	20	20	4	6
	Research assistantship...	70	54	42	28		Research assistantship...	53	30	16	9
	Teaching assistantship....	53	47	17	18		Teaching assistantship....	88	78	62	57
	Own funds.....	58	68	18	32		Own funds.....	44	62	9	18
	Loans.....	18	26	1	4		Loans.....	9	15	0	0
	Other.....	24	25	9	10		Other.....	19	22	7	10
Agricultural sciences	Fellowship.....	6	5	4	3	Physical sciences	Fellowship.....	6	3	4	1
	Traineeship.....	10	7	3	4		Traineeship.....	16	12	4	2
	Research assistantship...	75	69	53	49		Research assistantship...	89	77	60	45
	Teaching assistantship....	19	19	4	6		Teaching assistantship....	73	72	20	32
	Own funds.....	58	56	17	18		Own funds.....	40	46	7	12
	Loans.....	16	15	1	2		Loans.....	12	16	0	0
	Other.....	33	30	19	18		Other.....	15	15	6	7
Biological sciences	Fellowship.....	9	5	5	2	Earth, atmospheric, & ocean sciences	Fellowship.....	9	5	3	1
	Traineeship.....	38	25	21	16		Traineeship.....	16	13	4	4
	Research assistantship...	70	59	42	35		Research assistantship...	83	77	54	45
	Teaching assistantship....	42	41	12	18		Teaching assistantship....	47	54	12	16
	Own funds.....	52	57	12	20		Own funds.....	56	65	15	24
	Loans.....	18	20	0	1		Loans.....	15	17	0	1
	Other.....	19	20	7	8		Other.....	31	27	12	9
Health sciences	Fellowship.....	5	3	2	0	Psychology	Fellowship.....	5	1	3	0
	Traineeship.....	30	21	11	7		Traineeship.....	27	13	10	4
	Research assistantship...	51	36	18	14		Research assistantship...	55	38	21	10
	Teaching assistantship....	35	27	10	9		Teaching assistantship....	58	43	20	9
	Own funds.....	81	84	45	60		Own funds.....	81	92	34	55
	Loans.....	22	20	2	3		Loans.....	42	59	5	16
	Other.....	35	33	12	7		Other.....	25	27	8	5
Engineering	Fellowship.....	6	3	4	1	Social sciences	Fellowship.....	16	5	5	1
	Traineeship.....	13	9	3	4		Traineeship.....	33	21	13	6
	Research assistantship...	82	68	59	44		Research assistantship...	47	37	15	11
	Teaching assistantship....	41	44	8	14		Teaching assistantship....	65	52	28	22
	Own funds.....	56	58	14	21		Own funds.....	74	80	29	46
	Loans.....	10	9	1	0		Loans.....	28	29	2	3
	Other.....	24	27	11	17		Other.....	31	32	8	11
Computer & information sciences	Fellowship.....	9	2	4	0						
	Traineeship.....	15	11	4	3						
	Research assistantship...	81	45	48	18						
	Teaching assistantship....	60	48	19	20						
	Own funds.....	58	73	18	41						
	Loans.....	8	10	0	0						
	Other.....	23	33	7	17						

**NOTE:** Primary support columns may not total 100 percent due to rounding. A total of 6,621 Ph.D.s did not report a primary mode of support and, of these, 1,779 did not report any mode of support. Percentages are based on actual responses. The nonresponse rate was 4 percent for any support and 24 percent for primary support.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

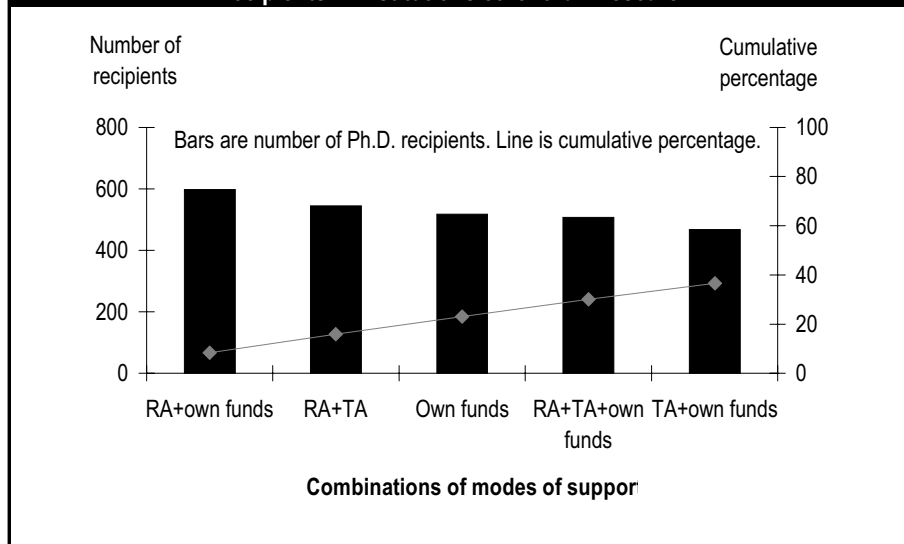
**Figure 10. Top five combinations of modes of support reported by 1995 S&E Ph.D. recipients in Research I institutions**



**NOTE:** RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Figure 11. Top five combinations of modes of support reported by 1995 S&E Ph.D. recipients in institutions other than Research I**



**NOTE:** RA=research assistantship; TA=teaching assistantship.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

## CONCLUSION

New S&E Ph.D.s commonly reported use of more than one mode of support for their graduate education. The average number of modes of support varies from 2.1 for the agricultural sciences to 2.9 for the social sciences, with an overall mean of 2.5. Five combinations of support modes were reported by just under 40 percent of all new S&E Ph.D.s in 1995. Two combinations—RA + TA and RA + own funds—accounted for about 20 percent of all combinations of modes. RA + TA + own funds and RA alone were the third and fourth most frequent combinations. TA + own funds was the fifth most frequently used combination of support modes.

Use of one or many modes of support, prevalence of particular modes of support, and use of particular combinations of support modes vary by S&E field, sex, race/ethnicity and citizenship, and type of institution. For example, nearly 75 percent of those in the agricultural sciences used one or two modes of support, but only 44 percent of those in psychology were covered by one or two modes. Asians or Pacific Islanders and noncitizens reported considerably fewer modes of support, on aver-

age, than did other groups. Ph.D.s attending public and private institutions used similar numbers of support modes but students attending Research I institutions reported using a larger number of support modes than those attending other institutions.

Changes in modes of support over time or differences among groups in types or combinations of support modes do not necessarily imply changes or differences in amounts of funding. In addition, other factors not examined in this study may affect support patterns. Such factors might include age, geographical location of institutions from which a degree is received, and part-time/full-time status of students.

The information provided in this study demonstrates the complex nature of graduate financial support. It indicates that those thinking either about the impacts of support modes on graduate S&E education or how to evaluate the impacts of specific graduate support programs for GPRA purposes need to take account of this complexity in their planning and deliberations.

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# APPENDIX A. TECHNICAL NOTES

## SURVEY DESCRIPTION

All statistical data presented in this paper are from the Survey of Earned Doctorates (SED). This survey, which is conducted annually under the sponsorship of the National Science Foundation (NSF) and four other Federal agencies, is a census of recipients of research doctorates at all accredited universities and colleges in the United States. Research doctorates include doctoral degrees such as the Ph.D. and D.Sc., but exclude first-professional degrees such as the J.D. and the M.D.

The survey data are collected directly from the individual research doctorate recipients. Questionnaires are distributed, with the cooperation of the various graduate schools, to those people completing their research doctorates. The data for a given year include responses from all persons whose doctorates were awarded in the 12-month period ending on June 30 of that year. A copy of the questionnaire used for the 1994-95 survey is attached as Exhibit A.

Approximately 94 percent of the 1994-95 cohort of doctorate recipients responded to the questionnaire. Since partial data from public sources are obtained for survey nonrespondents, the counts for conferred doctorates by field are considered relatively complete. Data for this report were drawn from the responses to items 5, 7, 9, 10, 13, and 17 of the 1995 questionnaire.

## MISSING DATA

Missing data items are coded as missing and are not imputed. In item 17, respondents were asked to indicate their primary and secondary sources of support and to check all other sources from which support was received. The overall response rate to the sources of support was 94 percent, but only 76 percent reported a primary source of support and 63 percent a secondary source. That is, 63 percent indicated both a primary and secondary source of support, 13 percent indicated a primary source of support, but not a secondary source of support, and an additional 18 percent checked multiple boxes on the source of support question, but did not indicate which were primary or secondary sources of support. Thus, a total of 94 percent either checked a box and/or indicated one or more modes of support as primary or secondary. The 13 percent who indicated a primary source of support but

not a secondary source of support includes both people who had no other support and also those who checked other sources of support, but did not designate a secondary source. Respondents not reporting any source are excluded from the tables presenting any source of support, those not reporting a secondary source are excluded from tables reporting secondary source of support, and those not reporting a primary source are excluded from tables reporting primary source of support. See appendix tables A2 and A3 for differences between those missing and not missing primary source of support and any source of support on other variables used in this report.

<u>Item</u>	<u>Response rate (percent)</u>
5 (Sex)	100
7 (Citizenship)	97.9
9 (Race/ethnicity)	98.9
13 (Field of study)	100.0
17 (Any source of support)	93.6
17 (Primary source of support)	76.2
17 (Secondary source of support)	63.2

## VALIDITY OF DATA ON SOURCES OF SUPPORT

The National Research Council (NRC), at the request of the Federal sponsors of the SED conducted a study in 1994 to assess the validity of item 17, sources of support. In the study, responses to the SED were matched with records of grantors of support money to graduate students. The study found that doctorate recipients can reasonably accurately identify the type of financial support they had in graduate school (e.g., RA, TA) but not necessarily the source of that support (e.g., NSF, National Institutes of Health, Ford Foundation, university funds). (NRC 1994.) For this reason, the 32 possible responses to item 17 were recoded into 7 "modes" of support that reflect the type of funding but not the source of funding. (The question on sources of support was changed in later versions of the SED.)

## DATA RECODES

Data from the file were recoded into the categories used in this report as follows.

**Support mode** was determined from item 17 as follows:

<u>Mode</u>	<u>Code on questionnaire:</u>
Fellowship	33 <sup>24</sup> , 53, 70, 71, 73, and 78
Traineeship	12, 21, 40, and 44
Research assistantship	11, 22, 32, 52, and 62
Teaching assistantship	10
Own funds	01, 02, and 03
Loans	80, 81, and 89
Other	14, 19, 29, 49, 60, 69, 90, 91, 92, and 99
Missing	None specified

**Primary mode of support** was determined from item 17, source indicated as primary; if no primary source was specified, it was considered missing.

**Secondary mode of support** was determined from item 17, source indicated as secondary; if no secondary source was specified, it was considered missing.

**Discipline** was determined from item 13, field of doctorate study. The National Research Council's Office of Scientific and Engineering Personnel field codes used to indicate study field were assigned to the discipline codes reported herein using the NSF Computer-Aided Science Policy Analysis and Research (CASPAR) database crosswalk shown in Exhibit B.

**Citizenship** was determined from item 7 using the following crosswalk:

<u>Citizenship</u>	<u>Code on questionnaire:</u>
U.S. citizen or permanent resident visa	0, 1, and 2
Foreign student (on temporary visa)	3
Missing	None specified

**Race/ethnicity** was determined from items 9 and 10, using the following crosswalk:

<u>Race/ethnicity</u>	<u>Code on questionnaire:</u>
American Indian or Alaskan Native (I)	Item 9, code 0; item 10, response "no"
Asian or Pacific Islander (A)	Item 9, code 1; item 10, response "no"
Black, non-Hispanic (B)	Item 9, code 2; item 10, response "no"
White, non-Hispanic (W)	Item 9, code 3; item 10, response "no"
Hispanic (H)	Item 9, any; Item 10, response "yes," codes 0, 1, or 2
Other (O)	None specified or multiple responses

**Sex** was determined from item 5:

<u>Sex</u>	<u>Code on questionnaire:</u>
Male	1
Female	2
Missing	None specified

**Carnegie codes** were assigned to the doctorate-granting institutions reported in item 13 based on the Carnegie classification system. (The Carnegie Foundation 1994)

- **Research I institutions** offer a full range of baccalaureate programs, are committed to graduate education through the doctorate degree, and give high priority to research. A Research I institution annually receives at least \$40 million in Federal support and awards at least 50 doctoral degrees.
- **All other institutions** comprise the Carnegie classifications of Research II, and doctorate-granting I & II institutions.

The doctorate-granting institutions reported in item 13 were categorized as **public or private institutions** based on their reporting on the institutional control item in the National Center for Education Statistics IPEDS surveys.

<sup>24</sup>A number of these may be "false positives." The NRC Validation Study (NRC 1994) showed that 39 percent of doctorate recipients listing NSF fellowship were not listed in the NSF files as having received one.

- **Private institution** – an educational institution controlled by a private individual(s) or by a nongovernmental agency, usually supported primarily by other than public funds, and operated by other than publicly elected or appointed officials.
- **Public institution** – an educational institution whose programs and activities are operated by publicly elected or appointed school officials and which is supported primarily by public funds.

**Table A1. Number of 1995 S&E Ph.D. recipients by primary source of support and selected characteristics**

Characteristic	Primary source of support								Total
	Fellowship	Traineeship	Research assistantship	Teaching assistantship	Own Funds	Loans	Other	Missing	
<b>Total</b> .....	667	1,797	8,069	3,748	4,582	430	1,951	6,621	27,865
<b>Sex</b>									
Female.....	251	768	2,112	1,130	1,965	246	529	2,130	9,131
Male.....	416	1,029	5,955	2,618	2,615	184	1,422	4,353	18,592
Unknown.....	0	0	2	0	2	0	0	138	142
<b>Race/ethnicity</b>									
White.....	449	1,234	4,417	2,289	3,571	347	1,265	3,050	16,622
Asian/Pacific Islander.....	86	362	3,231	1,260	732	21	417	2,237	8,346
Underrepresented minority <sup>1</sup> .....	123	178	324	167	251	60	224	569	1,896
Other (missing).....	9	23	97	32	28	2	45	765	1,001
<b>Citizenship</b>									
Foreign students on temporary visas.....	71	256	2,464	1,082	602	13	770	1,981	7,239
U.S. citizens and permanent residents.....	596	1,540	5,598	2,666	3,978	417	1,179	4,067	20,041
Unknown.....	0	1	7	0	2	0	2	573	585
<b>Institutional control</b> <sup>2</sup>									
Private.....	327	894	2,286	881	1,358	226	677	2,110	8,759
Public.....	340	903	5,783	2,867	3,224	204	1,274	4,511	19,106
<b>Carnegie classification</b> <sup>2</sup>									
Not research I.....	607	1,436	6,505	2,708	2,756	181	1,398	4,488	20,079
Research I.....	60	361	1,564	1,040	1,826	249	553	2,133	7,786
<b>Field of study</b>									
Agricultural sciences.....	28	23	407	33	131	8	148	258	1,036
Biological sciences.....	172	829	1,676	567	586	27	310	1,209	5,376
Health sciences.....	14	97	167	92	473	24	104	359	1,330
Engineering.....	141	141	2,567	449	704	23	579	1,404	6,008
Computer & information sciences.....	26	28	318	152	193	3	80	197	997
Mathematics.....	27	39	132	566	101	2	70	253	1,190
Physical sciences.....	91	112	1,679	661	236	10	175	877	3,841
Earth, atmospheric, & oceanographic sciences.....	15	24	314	78	107	2	68	172	780
Psychology.....	42	178	396	368	1,114	263	159	909	3,429
Social sciences.....	111	326	413	782	937	68	258	983	3,878

<sup>1</sup> Underrepresented minority includes blacks, Hispanics, and American Indians/Alaskan Natives.

<sup>2</sup> of doctorate institution

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table A2. Number and percentage of 1995 S&E Ph.D. recipients by primary mode of support missing, and selected characteristics**

Characteristic	Number			Percentage		
	Primary source of support missing			Primary source of support missing		
	No	Yes	Total	No	Yes	Total
<b>Total</b> .....	21,244	6,621	27,865	76.2	23.8	100.0
<b>Sex</b>						
Female.....	7,001	2,130	9,131	76.7	23.3	100.0
Male.....	14,239	4,353	18,592	76.6	23.4	100.0
Unknown.....	4	138	142	2.8	97.2	100.0
<b>Race/ethnicity</b>						
White.....	13,572	3,050	16,622	81.7	18.3	100.0
Asian/Pacific Islander.....	6,109	2,237	8,346	73.2	26.8	100.0
Underrepresented minority <sup>1</sup> .....	1,327	569	1,896	70.0	30.0	100.0
Other (missing).....	236	765	1,001	23.6	76.4	100.0
<b>Citizenship</b>						
Foreign students on temporary visas.....	5,258	1,981	7,239	72.6	27.4	100.0
U.S. citizens and permanent residents.....	15,974	4,067	20,041	79.7	20.3	100.0
Unknown.....	12	573	585	2.1	97.9	100.0
<b>Institutional control</b> <sup>2</sup>						
Private.....	6,649	2,110	8,759	75.9	24.1	100.0
Public.....	14,595	4,511	19,106	76.4	23.6	100.0
<b>Carnegie classification</b> <sup>2</sup>						
Not research I.....	5,653	2,133	7,786	72.6	27.4	100.0
Research I.....	15,591	4,488	20,079	77.6	22.4	100.0
<b>Field of study</b>						
Agricultural sciences.....	778	258	1,036	75.1	24.9	100.0
Biological sciences.....	4,167	1,209	5,376	77.5	22.5	100.0
Health sciences.....	971	359	1,330	73.0	27.0	100.0
Engineering.....	4,604	1,404	6,008	76.6	23.4	100.0
Computer & information sciences.....	800	197	997	80.2	19.8	100.0
Mathematics.....	937	253	1,190	78.7	21.3	100.0
Physical sciences.....	2,964	877	3,841	77.2	22.8	100.0
Earth, atmospheric, & oceanographic sciences.....	608	172	780	77.9	22.1	100.0
Psychology.....	2,520	909	3,429	73.5	26.5	100.0
Social sciences.....	2,895	983	3,878	74.7	25.3	100.0

<sup>1</sup> Underrepresented minority includes blacks, Hispanics, and American Indians/Alaskan Natives.

<sup>2</sup> of doctorate institution

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.



**Table A3. Number and percentage of 1995 S&E Ph.D. recipients by any mode of support missing, and selected characteristics**

Characteristic	Number			Percentage		
	Any source of support missing			Any source of support missing		
	No	Yes	Total	No	Yes	Total
<b>Total</b> .....	26,086	1,779	27,865	93.6	6.4	100.0
<b>Sex</b>						
Female.....	8,577	554	9,131	93.9	6.1	100.0
Male.....	17,504	1,088	18,592	94.1	5.9	100.0
Unknown.....	5	137	142	3.5	96.5	100.0
<b>Race/ethnicity</b>						
White.....	15,981	641	16,622	96.1	3.9	100.0
Asian/Pacific Islander.....	8,028	318	8,346	96.2	3.8	100.0
Underrepresented minority <sup>1</sup> .....	1,784	112	1,896	94.1	5.9	100.0
Other (missing).....	293	708	1,001	29.3	70.7	100.0
<b>Citizenship</b>						
Foreign students on temporary visas.....	6,849	390	7,239	94.6	5.4	100.0
U.S. citizens and permanent residents.....	19,217	824	20,041	95.9	4.1	100.0
Unknown.....	20	565	585	3.4	96.6	100.0
<b>Institutional control</b> <sup>2</sup>						
Private.....	7,981	778	8,759	91.1	8.9	100.0
Public.....	18,105	1,001	19,106	94.8	5.2	100.0
<b>Carnegie classification</b> <sup>2</sup>						
Not research I.....	7,177	609	7,786	92.2	7.8	100.0
Research I.....	18,909	1,170	20,079	94.2	5.8	100.0
<b>Field of study</b>						
Agricultural sciences.....	969	67	1,036	93.5	6.5	100.0
Biological sciences.....	5,098	278	5,376	94.8	5.2	100.0
Health sciences.....	1,212	118	1,330	91.1	8.9	100.0
Engineering.....	5,615	393	6,008	93.5	6.5	100.0
Computer & information sciences.....	936	61	997	93.9	6.1	100.0
Mathematics.....	1,121	69	1,190	94.2	5.8	100.0
Physical sciences.....	3,625	216	3,841	94.4	5.6	100.0
Earth, atmospheric, & oceanographic sciences.....	742	38	780	95.1	4.9	100.0
Psychology.....	3,103	326	3,429	90.5	9.5	100.0
Social sciences.....	3,665	213	3,878	94.5	5.5	100.0

<sup>1</sup> Underrepresented minority includes blacks, Hispanics, and American Indians/Alaskan Natives.

<sup>2</sup> of doctorate institution

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

**Table A4. Percentage distribution by field, race/ethnicity and citizenship of 1995 S&E Ph.D. recipients**

Field	Asian/Pacific Islander <sup>1</sup>	Underrepresented minority <sup>1,2</sup>	White <sup>1</sup>	Foreign on temporary visa <sup>3</sup>
<b>Total S&amp;E</b> .....	100	100	100	100
Agricultural sciences.....	2	3	3	6
Biological sciences.....	25	19	21	13
Health sciences.....	2	8	6	3
Engineering.....	27	12	14	35
Computer & information sciences.....	4	1	3	5
Mathematics.....	6	2	4	5
Physical sciences.....	20	10	13	13
Earth, atmospheric, & ocean sciences...	3	1	3	2
Psychology.....	3	24	19	2
Social sciences.....	8	20	14	15

<sup>1</sup> U.S. citizens and permanent residents only.

<sup>2</sup> Underrepresented minorities include blacks, Hispanics, and American Indians/Alaskan Natives.

<sup>3</sup> Foreign students who were on temporary visas at the time of Ph.D. conferral.

**SOURCE:** National Science Foundation/Division of Science Resources Studies, Survey of Earned Doctorates.

EXHIBIT A. SURVEY OF EARNED DOCTORATES, 1994–95  
SAMPLE QUESTIONNAIRE

## SURVEY OF EARNED DOCTORATES 1994-95

Please return this form to the GRADUATE DEAN for forwarding to  
The Office of Scientific and Engineering Personnel, National Research Council • 2101 Constitution Avenue, N.W., Washington, D.C. 20418

**Please print or type.**

1. Name in full: \_\_\_\_\_  
Last Name First Name Middle Name  
 Cross Reference: Maiden name or former name legally changed \_\_\_\_\_

2. Permanent address through which you could always be reached: (Care of, if applicable) \_\_\_\_\_  
 \_\_\_\_\_  
Number Street City  
 \_\_\_\_\_  
State Zip Code Or Country if not U.S.

3. U.S. Social Security Number: \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

4. Place of birth: \_\_\_\_\_ Date of birth: \_\_\_\_\_  
State or Country if not U.S. Month Day Year

5. Sex: 1  Male  
 2  Female

8. Are you a person with a disability?  Yes  No  
 If yes, is it: 1  Visual 2  Orthopedic (mobility)  
 3  Auditory (hearing) 4  Vocal  
 5  Other (specify) \_\_\_\_\_

6. Marital status: 0  Single, never married  
 1  Married  
 2  Separated, divorced, widowed

9. What is your racial background? 0  American Indian or Alaskan Native  
 (Check only one.) 1  Asian or Pacific Islander  
 2  Black  
 3  White

7. Citizenship:  
 0  United States, native  
 1  United States, naturalized  
 Non-United States:  
 2  Permanent Resident of United States (Immigrant visa)  
     ↳ \_\_\_\_\_  
     (Country of present citizenship)  
 3  Temporary Resident of United States (Non-immigrant visa)  
     ↳ \_\_\_\_\_  
     (Country of present citizenship)

10. Are you Hispanic?  No  Yes → 0  Mexican American  
 1  Puerto Rican  
 2  Other Hispanic

11. How many dependents do you have? \_\_\_\_\_ Do not include yourself.  
 (Dependent = someone receiving at least one half of his or her support from you.)

### EDUCATION

12. Location of high school/secondary school last attended: \_\_\_\_\_ Date of graduation from high school: \_\_\_\_\_  
State or Country if not U.S. Month/Year

13. List below, chronologically, all colleges (including 2-year) and graduate institutions you have attended and each degree earned (if any). Be sure to give the years attended for ALL institutions attended. Include your doctoral institution(s) (and degree) at the end.

Institution/Branch	State/Country	Years Attended		Field of Study		Degree (if any)		
		From	To	Use Specialties List		Title	Granted	
				Name	Number		Mo	Yr
<i>EXAMPLE</i> Genesee Community College SUNY/Buffalo	NY NY	79 81	81 83	Math Computer Science	498 400	B.S.	6	83

If a baccalaureate degree (or equivalent) was never received, please check box.

14. How many years were you a full-time student between receiving your first baccalaureate degree (or equivalent) and receiving your doctorate (include the period spent on your thesis and/or dissertation). \_\_\_\_\_ (whole numbers)

15. Identify the field of your dissertation research and enter below the title of your dissertation. If a project report or a musical or literary composition is a degree requirement in lieu of a dissertation, please check box  Name of field \_\_\_\_\_ Number of field \_\_\_\_\_  
(Use Specialties List)  
 Title \_\_\_\_\_

16. Name the department (or interdisciplinary committee, center, institute, etc.) and school or college of the university which supervised your doctoral program.  
 \_\_\_\_\_  
Department/Institute/Committee/Program School

17. Indicate your **primary** and **secondary** sources of support during graduate school by entering "1" or "2" in the appropriate box. Check (✓) all other sources from which support was received, if any. (Enter only one source as "1" and one source as "2.")

- |  |   |   |  |
|--|---|---|--|
| Own/Family Resources                             | Federal Research Assistant  | Other Federal Support (continued)                     | Student Loans  |
| 01 <input type="checkbox"/> Own Earnings         | 22 <input type="checkbox"/> NIH   | 49 <input type="checkbox"/> Other Dept. Education     | 80 <input type="checkbox"/> Guaranteed Student Loan (Stafford Loan)              |
| 02 <input type="checkbox"/> Spouse's Earnings    | 32 <input type="checkbox"/> NSF   | 60 <input type="checkbox"/> Veterans Administration   | 81 <input type="checkbox"/> Perkins Loan — formerly National Direct Student Loan |
| 03 <input type="checkbox"/> Family Contributions | 52 <input type="checkbox"/> USDA  | 53 <input type="checkbox"/> USDA Fellowship           | 89 <input type="checkbox"/> Other Loan   |
| University-Related                               | 62 <input type="checkbox"/> Other Federal   | 69 <input type="checkbox"/> Other Federal             |  |
| 10 <input type="checkbox"/> Teaching Assistant   | <i>Specify</i> _____  | <i>Specify</i> _____                                  | <i>Specify</i> _____   |
| 11 <input type="checkbox"/> Research Assistant   | Other Federal Support   | U.S. Nationally Competitive Fellowships (Non-Federal) | Other Sources  |
| 12 <input type="checkbox"/> University Fellow    | 21 <input type="checkbox"/> NIH Traineeship/Fellowship  | 70 <input type="checkbox"/> Ford Foundation           | 90 <input type="checkbox"/> Business/Employer                                    |
| 14 <input type="checkbox"/> College Work-Study   | 29 <input type="checkbox"/> Other HHS   | 71 <input type="checkbox"/> Rockefeller Foundation    | 91 <input type="checkbox"/> Foreign (Non-U.S.) Government                        |
| 19 <input type="checkbox"/> Other                | 33 <input type="checkbox"/> NSF Fellowship  | 73 <input type="checkbox"/> Mellon Foundation         | 92 <input type="checkbox"/> State Government                                     |
| <i>Specify</i> _____                             | 40 <input type="checkbox"/> Patricia Roberts-Harris Fellowship — formerly G*POP (Department of Education) | 78 <input type="checkbox"/> Other Fellowship          | 99 <input type="checkbox"/> Other  |
|  | 44 <input type="checkbox"/> Title VI Foreign Language   | <i>Specify</i> _____                                  | <i>Specify</i> _____   |

18. When you receive your doctorate degree, how much money will you owe that is directly related to your undergraduate and/or graduate education (tuition and fees, living expenses and supplies, transportation to and from school)?

- |  |  |
|--|--|
| 0 <input type="checkbox"/> None              | 4 <input type="checkbox"/> \$15,001-\$20,000 |
| 1 <input type="checkbox"/> \$5,000 or less   | 5 <input type="checkbox"/> \$20,001-\$25,000 |
| 2 <input type="checkbox"/> \$5,001-\$10,000  | 6 <input type="checkbox"/> \$25,001-\$30,000 |
| 3 <input type="checkbox"/> \$10,001-\$15,000 | 7 <input type="checkbox"/> \$30,001 or more  |

19A. Please check the category that most fully describes your status for employment or study during the year immediately preceding the award of the doctorate.

- 0  Full-time employed → Go to item 19B →
- 1  Held fellowship
- 2  Held assistantship
- 3  Part-time employed
- 4  Not employed
- 5  Other (specify) \_\_\_\_\_

B. If full-time employed, what type of position did you hold?

- 6  College or university, faculty
- 7  College or university, non-faculty
- 8  Elementary or secondary school, teaching
- 9  Elementary or secondary school, non-teaching
- (11)  Industry or business
- (12)  Other (specify) \_\_\_\_\_

## POSTGRADUATION PLANS

20. How definite are your immediate postgraduate plans?

- 0  Am returning to, or continuing in, predoctoral employment
- 1  Have signed contract or made definite commitment
- 2  Am negotiating with one or more specific organizations
- 3  Am seeking position but have no specific prospects
- 4  Other (specify) \_\_\_\_\_

21. What best describes your immediate postgraduate plans?

- Study**
- 0  Postdoctoral fellowship
- 1  Postdoctoral research associateship
- 2  Traineeship
- 3  Other study (specify) \_\_\_\_\_
- 4  Employment (other than 0, 1, 2, 3)
- 5  Military service
- 6  Other (specify) \_\_\_\_\_
- For study plans go to Item 22
- For employment plans go to Item 23

22. If you plan to have a postdoctoral fellowship, associateship, traineeship, or otherwise undertake further study,

- A. What will be the field of your postdoctoral study? Please enter number from **Specialties List**. \_\_\_\_\_
- B. What will be the main source of financial support for your study research?
- 0  U.S. Government
- 1  College or university
- 2  Private foundation
- 3  Nonprofit, other than private foundation
- 4  Other (specify) \_\_\_\_\_
- 6  Unknown
- Go to Item 24

23. If you plan to be **employed, enter military service or other:**

A. For what type of **employer** will you be working?

- Education
- a  U.S. 4-yr college or university other than medical school
- b  U.S. medical school
- c  U.S. jr. or community college
- d  Elementary or secondary school
- e  Foreign institution
- Government
- f  Foreign government
- g  U.S. federal government
- h  U.S. state government
- i  U.S. local government
- Private Sector
- j  Nonprofit organization
- k  Industry or business
- l  Self-employed
- Other
- m  Other (specify) \_\_\_\_\_

B. Indicate what your **primary** and **secondary** work activities will be by entering "1" or "2" in the appropriate box.

- 0  Research and development
- 1  Teaching
- 2  Administration
- 3  Professional services to individuals
- 5  Other (specify) \_\_\_\_\_

C. In what field will you be working? Please enter number from **Specialties List**. \_\_\_\_\_

Go to Item 24

24. Where do you intend to live/work/study after graduation? 0  in U.S. \_\_\_\_\_ State \_\_\_\_\_ 1  not in U.S. \_\_\_\_\_ Country \_\_\_\_\_

Name of Organization, if known \_\_\_\_\_

City of Organization, if known \_\_\_\_\_

25. What is the highest educational attainment of your mother and father? Please circle.

Father:	Less than high school	High school graduate	Some college	Bachelor's	Master's	Professional	Doctorate
Mother:	Less than high school	High school graduate	Some college	Bachelor's	Master's	Professional	Doctorate
Codes for office use	1	2	3	4	5	6	7

Signature \_\_\_\_\_ Date \_\_\_\_\_

If you would like a summary of the results of this survey, please check box.  (Available as funding permits.)

**EXHIBIT B. SPECIALTY FIELD CODES FOR THE SURVEY OF  
EARNED DOCTORATES, 1994–95, INCLUDED IN THE  
DISCIPLINE GROUPS REPORTED HERE**

# EXHIBIT B. SPECIALTY FIELD CODES FOR THE SURVEY OF EARNED DOCTORATES, 1994–95, INCLUDED IN THE DISCIPLINE GROUPS REPORTED HERE

## 01 Agricultural Sciences

005 Animal Breeding and Genetics  
010 Animal Nutrition  
012 Dairy Science  
014 Poultry Science  
019 Animal Sciences, Other  
020 Agronomy and Crop Science  
025 Plant Breeding and Genetics  
030 Plant Pathology  
039 Plant Sciences, Other  
043 Food Engineering  
044 Food Sciences, Other  
046 Soil Chemistry/Microbiology  
049 Soil Sciences, Other  
050 Horticulture Science  
055 Fisheries Sciences and Management  
066 Forest Biology  
068 Forest Engineering  
070 Forest Management  
072 Wood Science and Pulp/Paper Technology  
074 Conservation/Renewable Natural Resources  
079 Forestry and Related Sciences, Other  
080 Wildlife/Range Management  
098 Agricultural Science, General  
099 Agricultural Science, Other

## 02 Biological Sciences

100 Biochemistry  
103 Biomedical Sciences  
105 Biophysics  
107 Biotechnology Research  
110 Bacteriology  
115 Plant Genetics  
120 Plant Pathology  
125 Plant Physiology  
129 Botany, Other  
130 Anatomy  
133 Biometrics and Biostatistics  
136 Cell Biology  
139 Ecology  
142 Embryology  
145 Endocrinology  
148 Entomology  
151 Biological Immunology  
154 Molecular Biology

157 Microbiology  
160 Neuroscience  
163 Nutritional Sciences  
166 Parasitology  
169 Toxicology  
170 Genetics, Human and Animal  
175 Pathology, Human and Animal  
180 Pharmacology, Human and Animal  
185 Physiology, Human and Animal  
189 Zoology, Other  
198 Biological Sciences, General  
199 Biological Sciences, Other

## 03 Health Sciences

200 Speech/Language Pathology and Audiology  
210 Environmental Health  
212 Health Systems/Services Administration  
215 Public Health  
220 Epidemiology  
222 Exercise Physiology/Science, Kinesiology  
230 Nursing  
240 Pharmacy  
245 Rehabilitation/Therapeutic Services  
250 Veterinary Science  
298 Health Sciences, General  
299 Health Sciences, Other

## 04 Engineering

300 Aerospace, Aeronautical, Astronautical  
Engineering  
303 Agricultural Engineering  
306 Bioengineering and Biomedical  
309 Ceramic Sciences  
312 Chemical Engineering  
315 Civil Engineering  
318 Communications Engineering  
321 Computer Engineering  
324 Electrical and Electronics Engineering  
327 Engineering Mechanics  
330 Engineering Physics  
333 Engineering Science  
336 Environmental Health Engineering  
339 Industrial and Manufacturing Engineering  
342 Materials Science  
345 Mechanical Engineering

**04 Engineering (continued)**

348 Metallurgical Engineering  
351 Mining and Mineral Engineering  
357 Nuclear Engineering  
360 Ocean Engineering  
363 Operations Research  
366 Petroleum Engineering  
369 Polymer and Plastics Engineering  
372 Systems Engineering  
398 Engineering, General  
399 Engineering, Other

**05 Computer and Information Sciences**

400 Computer Science  
410 Information Science and Systems

**06 Mathematics**

420 Applied Mathematics  
425 Algebra  
430 Analysis and Functional Analysis  
435 Geometry  
440 Logic  
445 Number Theory  
450 Mathematical Statistics  
455 Topology  
460 Computing Theory and Practice  
465 Operations Research  
498 Mathematics, General  
499 Mathematics, Other

**07 Physical Sciences**

500 Astronomy  
505 Astrophysics  
520 Analytical Chemistry  
522 Inorganic Chemistry  
524 Nuclear Chemistry  
526 Organic Chemistry  
528 Medicinal/Pharmaceutical Chemistry  
530 Physical Chemistry  
532 Polymer Chemistry  
534 Theoretical Chemistry  
538 Chemistry, General  
539 Chemistry, Other  
560 Acoustics  
561 Chemical and Atomic/Molecular Physics  
564 Elementary Particles  
566 Fluids  
568 Nuclear Physics  
569 Optics  
570 Plasma and High-Temperature Physics  
572 Polymer Physics  
574 Solid State and Low-Temperature Physics

578 Physics, General  
579 Physics, Other  
599 Miscellaneous Physical Sciences, Other

**08 Earth, atmospheric, and ocean sciences**

510 Atmospheric Physics and Chemistry  
512 Atmospheric Dynamics  
514 Meteorology  
518 Atmospheric Science/Meteorology, General  
519 Atmospheric Science/Meteorology, Other  
540 Geology  
542 Geochemistry  
544 Geophysics and Seismology  
546 Paleontology  
548 Mineralogy and Petrology  
550 Stratigraphy and Sedimentation  
552 Geomorphology and Glacial Geology  
558 Geology and Related Sciences, General  
559 Geology and Related Sciences, Other  
580 Environmental Science  
585 Hydrology and Water Resources  
590 Oceanography  
595 Marine Sciences

**09 Psychology**

600 Clinical Psychology  
603 Cognitive Psychology and Psycholinguistics  
606 Comparative Psychology  
609 Counseling Psychology  
612 Developmental and Child Psychology  
615 Experimental Psychology  
618 Educational Psychology  
620 Family and Marriage Counseling  
621 Industrial and Organization Psychology  
624 Personality Psychology  
627 Physiological Psychology/Psychobiology  
630 Psychometrics  
633 Quantitative Psychology  
636 School Psychology  
639 Social Psychology  
648 Psychology, General  
649 Psychology, Other  
672 Human/Individual and Family Development

**10 Social Sciences**

000 Agricultural Economics  
650 Anthropology  
652 Area Studies  
658 Criminology  
662 Demography/Population Studies  
666 Economics  
668 Econometrics



**04 Engineering (continued)**

670 Geography  
674 International Relations/Affairs  
678 Political Science and Government  
682 Public Policy Analysis  
686 Sociology  
690 Statistics (Social)  
694 Urban Affairs/Studies  
698 General Social Sciences  
699 Other Social Sciences  
710 History/Philosophy of Science and Technology  
729 Linguistics  
770 American Studies  
773 Archeology  
976 Public Administration

**Non S&E (excluded from this report):**

002 Agricultural Business and Management  
700 History, American  
703 History, Asian  
705 History, European  
718 History, General  
719 History, Other  
720 Classics  
723 Comparative Literature  
725 English and American Literature  
726 English Language  
732 Literature, American  
733 Literature, English  
734 English Language  
736 Speech and Rhetorical Studies  
738 Letters, General  
739 Letters, Other  
740 French  
743 German  
746 Italian  
749 Spanish  
752 Russian  
755 Slavic (other than Russian)  
758 Chinese  
762 Japanese  
765 Hebrew  
768 Arabic  
769 Other Languages and Literature  
776 Art History/Criticism/Conservation  
780 Music  
785 Philosophy  
790 Religion  
791 Religion and Theology  
795 Drama/Theater Arts  
798 Humanities, General  
799 Humanities, Other

800 Curriculum and Instruction  
805 Education Administration and Supervision  
807 Educational Leadership  
810 Educational/Instructional Media Design  
815 Education Statistics/Research Methods  
820 Education Assessment, Testing, and Measurement  
822 Educational Psychology  
825 School Psychology  
830 Social/Philosophical Foundations of Education  
835 Special Education  
840 Counseling Education/Counseling and Guidance Services  
845 Education Evaluation and Research  
850 Pre-elementary/Early Childhood Teacher Education  
852 Elementary Teacher Education  
856 Secondary Teacher Education  
858 Adult and Continuing Teacher Education  
860 Agricultural Education  
861 Art Education  
862 Business Education  
864 English Education  
866 Foreign Languages Education  
868 Health Education  
870 Home Economics Education  
872 Technical and Industrial Arts Education  
874 Mathematics Education  
876 Music Education  
878 Nursing Education  
880 Physical Education and Coaching  
882 Reading Education  
884 Science Education  
885 Social Science Education  
887 Technical Education  
888 Trade and Industrial Education  
889 Teacher Education, Specific Academic and Vocational Programs, Other  
898 Education, General  
899 Education, Other  
900 Accounting  
905 Banking/Financial Support Services  
910 Business Administration and Management  
915 Business/Managerial Economics  
916 International Business  
917 Management Information Systems/Business Data Processing  
920 Marketing Management and Research  
930 Operations Research  
935 Organizational Behavior  
938 Business Management/Administrative Services, General

**Non S&E (continued)**

939 Business Management/Administrative Services,  
Other  
940 Communications Research  
947 Mass Communications  
957 Communication Theory  
958 Communications, General  
959 Communications, Other  
960 Architecture and Environmental Design

964 Home Economics  
968 Law  
972 Library Science  
974 Parks/Recreation/Leisure/Fitness  
980 Social Work  
984 Theology/Religious Education  
988 Professional Fields, General  
989 Professional Fields, General  
999 Other Fields

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