

# AN ENROLLMENT ISSUES HANDBOOK

*Prepared by:*

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*Budget Office*

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*Educational Relations*

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**[www.ucop.edu/planning](http://www.ucop.edu/planning)**

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# Introduction

## ***Audience and Purpose of the Handbook***

This handbook has been prepared by Office of the President staff for use by incoming members of the Academic Council and its committees. It may also prove useful to others interested in the University of California's enrollment issues.

The purpose of this handbook is to help explain the vocabulary, concepts and history underlying UC's enrollment process, from planning through admissions, so that committee members are able to engage in meaningful discussion of related current issues.

## ***Using this Handbook***

This handbook is divided into several sections related to various aspects of enrollment. Definitions of terms shown in **bold font** are either in the text or at the end of the document in the Glossary.

Abbreviations used in this document are

CCC California Community Colleges

CPEC California Postsecondary Education Commission

CSU California State University

DOF Department of Finance

LRDP Long Range Development Plan

UC University of California

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# Why an Understanding of Enrollment Issues Is Critical

## ***Enrollments are central to the acquisition and distribution of financial resources.***

The number of enrolled students forms a significant basis on which UC's State budgeting structure is built, as well as related structures, such as the allocation of some State (and other) dollars to the campuses. Enrollments also play a central role in the development of (a) the State-funded portion of each campus's capital program, and (b) non-State-funded capital projects such as housing and other student-use facilities.

## ***Enrollments are the basis for program planning.***

Academic programs and their associated support programs are built in large part on expectations about enrollment growth, composition and distribution among campuses and departments, and on assumptions about the resources that will accompany the enrollment.

## ***Enrollments are a measure of the University's service to California.***

The California Master Plan for Higher Education sets clear expectations about the proportion of California high school graduates eligible to enroll at UC. Undergraduate enrollment levels are based on the commitment to provide access to any interested and eligible California high school graduate, with a threshold of eligibility set at the top 12.5 percent of the total public high school graduating class. The Master Plan also assigns UC certain graduate academic and professional enrollment responsibilities though they are not linked to a percentage of the population.

Understanding fundamental enrollment concepts therefore provides the essential key to understanding the University's resources, academic program potential, and commitment to California's citizens.

## How Do I Read an Enrollment Table?

The exercise that follows may seem elementary at the beginning, but as you will see, understanding enrollment numbers gets progressively more complicated. Different numbers are used for different purposes, and it is important to grasp why. Because even those of us who work with these numbers regularly find it challenging to remember these distinctions, we thought it might help the occasional user if we created a simplified pathway through the maze.

*Suppose you are presented with the following enrollment table:*

2006

	Undergraduate	Graduate	Total
Universitywide	163,302	50,996	214,298

Source: *Statistical Summary of Students and Staff*, Fall 2006, Table 1a [www.ucop.edu/ucophome/uwnews/stat](http://www.ucop.edu/ucophome/uwnews/stat)

*The first question to ask when presented an enrollment table is, “What is the population? Are health sciences students included?”*

2006

Undergraduate	Graduate	Total	Health Sciences	Grand Total
163,099	36,986	200,085	14,213	214,298

Source: *Statistical Summary of Students and Staff*, Fall 2006, Tables 1b & 1c [www.ucop.edu/ucophome/uwnews/stat](http://www.ucop.edu/ucophome/uwnews/stat)

**Health Sciences** students are budgeted separately from general campus students, and for many reporting purposes are listed separately or not at all.

Sometimes you may also see other components of the population itemized: e.g., health sciences residents, postbaccalaureate (teaching credential) students, San Diego Marine Sciences students, and students in self-supporting MBA or other self-supporting graduate programs. (As a general rule, and unless noted otherwise, postbaccalaureate students are counted with undergraduates.)

Next, do these numbers represent *fall* enrollments or *year-average* enrollments?

### 2006-07 Enrollments

	Undergraduate	Graduate	Total	Health Sciences	Grand Total
Fall Headcount	163,099	36,986	200,085	14,213	214,298
Year-average Headcount	158,672	32,872	191,544	13,668	205,212

Fall Headcount includes 3,450 students in self-supporting programs. Source: Corporate Data Table CSSD0011: Third Week Headcount, Single Term.

Year-average headcount (YAHC) does not include 3,380 YAHC students in self-supporting programs. Year-average headcount is Fall, Winter, Spring. Source: Corporate Data Table CSSD0111: Academic Year Average Headcount.

Source: *Statistical Summary of Students and Staff*, Fall 2006, Table 1b; Year-Average Headcount from University of California Corporate Data.

**Fall** (Winter, Spring): Students are counted each term (quarter or semester). Some University publications, such as the *Statistical Summary of Students and Staff*, report detailed information about fall enrollments, making fall enrollments the common standard for historical or cross-campus comparisons. Fall enrollments are also used in standard reporting to external agencies, and in combination with other “snapshot” data collected at the same time, such as space facilities data.

**Year-average or Three-Term Average:** Since enrollment varies from term to term, with fall enrollments typically the highest of the year, fall enrollments are not used in budgeting. Rather, for budgeting we typically use year-average enrollments, that is, the average of enrollments over each campus’s two (semester) or three (quarter) terms.

Year-average headcount does not include summer headcount. FTE may include summer FTE but will be labeled accordingly. (See page 7 for more information.)

Then, ask the basis for counting these students. “Are they **headcount** or **FTE**?”

### 2006-07 Enrollments

	Undergraduate	Graduate	Total	Health Sciences	Grand Total
Actual Fall Headcount	163,099	36,986	200,085	14,213	214,298
Year-average Headcount	158,672	32,872	191,544	13,668	205,212
Actual FTE w/o summer	153,930	32,139	186,069	14,213	202,282

Actual FTE without summer source: University of California Office of the President, Budget Office.

**Headcount:** Each student is counted once, whether carrying a full or partial instructional load. Headcount (usually Fall) is used in most UC statistical reporting, and it is also used for such purposes as estimating the number of residence hall rooms required, for calculating participation rates, and for other purposes that apply on a per-individual basis.

**FTE = Full time equivalent:** Students are counted in terms of their proportion of a full-time instructional load. For lower and upper division undergraduates, a full-time instructional load is considered to be 45 quarter units or 30 semester units. For graduate students, a full-time instructional load is considered to be 36 quarter units or 24 semester units. Doctoral students who have been advanced to candidacy for 9 or fewer quarters or 6 or fewer semesters are considered full-time, and have an FTE value of 1.0. Doctoral students who have been enrolled for 9 quarters or 6 semesters after advancing to candidacy are counted as 0 FTE. FTE counts are generally used to count State-supported enrollments, and exclude all students in self-supporting programs.

Health sciences students are counted as full-time students, so therefore have an FTE value of 1.00.

General campus academic year FTE enrollments are calculated by multiplying the academic year headcount for each level by a conversion ratio.

**Conversion ratio:** Conversion ratios are used to convert year-average headcount into FTE and vice versa. They are based on a two-year average of student course load. As average course

load per student rises, the conversion ratio increases. The ratios are calculated annually for each campus to establish the relationship between headcount and FTE. Since budgets are based on FTE, rather than headcount, the implications of changes in these ratios may be significant.

**Formula:** For each level of enrolled student (**lower division, upper division, postbaccalaureate, and first stage graduate**) add the total number of units attempted (as of the third week of each term) for the prior two academic years. Divide by the normative full-time load for that level (e.g., 45 units for undergraduates and postbaccalaureates and 36 for first-stage graduates at quarter campuses). Divide by the sum of the year-average headcounts for the same two years. For second-stage graduate students, the conversion ratio is calculated by dividing the number of doctoral students advanced to candidacy for 9 or fewer quarters or 6 or fewer semesters by the total number of doctoral students advanced to candidacy, regardless of actual unit loads.

Conversion ratios are capped at 1.0 for each level of student. For example, if a campus’s undergraduate students average 46 units during the academic year, the conversion ratios will be capped at 1.0 and FTE will equal year-average headcount, not exceed it.

*Are the enrollments actual or budgeted?*

2006-07 Headcount and FTE Enrollments

	Undergraduate	Graduate	Total	Health Sciences	Grand Total
Actual Fall Headcount	163,099	36,986	200,085	14,213	214,298
Actual Year-Average HC	158,672	32,872	191,544	13,668	205,212
Actual FTE (without summer)	153,930	32,139	186,069	14,213	202,282
Budgeted FTE (without summer)	150,568	33,035	183,603	14,213	197,816

Headcounts source: *Statistical Summary of Students and Staff*, Fall 2006, Tables 1a, 1b, & 1c; FTE sources: UCOP Budget Office

**Actual** enrollments are expected to match closely to budgeted enrollments, since only budgeted enrollments, which are an agreed-upon number negotiated with the legislature, receive State funding.

Actual enrollments are used to describe important characteristics of the student population, such as racial/ethnic composition. They are also used in some analyses of student progress, such as enrollment rates or time to degree.

Actual enrollments may be snapshot (e.g., fall semester) or year-average numbers. Most typically, actual fall enrollments are used in statistical reporting and comparative analysis instead of year average. Reports that use actual Fall headcount enrollments include those describing students' counties of origin, ethnicities, and majors.

**Budgeted** enrollments are used in preparing UC operating and capital budgets and in determining campus budget allocations. They are always expressed as FTE.

Beginning in 2000, budgeted enrollments at all campuses included summer enrollments in education credential programs. Beginning in 2001-02, budgeted enrollments for Berkeley, Los Angeles, and Santa Barbara included summer-term enrollments, starting with summer 2001. Davis was included in summer 2002. In 2005-06, budgeted enrollments included about half of the summer enrollments at the remaining campuses: Irvine, Merced, Riverside, San Diego, and Santa Cruz. Beginning in 2006-07, budgeted enrollments include all summer enrollments at all campuses.

*In summary, the numbers used most frequently for reporting purposes and analysis of enrollment trends are actual fall headcount, while those used most frequently for budgeting purposes are FTE.*



*Are summer enrollments included?*

2006-07 Headcount and FTE General Campus Enrollments

Actual Enrollments	Undergraduate	Graduate	Total
Year-Average Headcount, (summer excluded)	158,672	32,872	191,544
Summer Headcount (all UC students)	63,181	3,319	66,500
FTE, (summer excluded)	153,930	32,139	186,069
Summer FTE (State-supported)	13,036	743	13,779
FTE, (State-supported summer included)	166,966	32,882	199,848

Summer headcount and FTE figures source: UCOP Budget Office

**Headcount:** Campuses offer multiple enrollment sessions during summer usually ranging from 3 to 10 weeks in length. Students may enroll in more than one summer session. Headcount enrollments are to be reported as unduplicated enrollments. That is, each student will be counted once no matter how many individual sessions the student is enrolled in during the summer term. UC students (from any campus) are counted separately from non-UC students enrolling in summer classes.

Summer headcount at fully State-supported campuses is not included in the calculation of year-average headcount.

**FTE:** Summer FTE are computed on the basis of credit units. Summer credit hours for undergraduates are divided by 45 quarter units (or 36 semester units) to yield summer FTE. For graduate students, summer hours are divided by 36 quarter or 24 semester units. Since State funding is provided on the basis of the credit unit workload generated by a three-term student, the same academic year FTE unit is used in summer. This

means that it typically takes six summer-headcount students enrolling in half a load, to generate one academic-year FTE.

As part of the budgeting process and when reporting actual FTE, the FTE generated during the summer at State-supported campuses will be added to FTE generated during the regular academic year.

Beginning in 2001-02, budgeted enrollments for Berkeley, Los Angeles, and Santa Barbara campuses included summer enrollments starting with summer 2001. (Summer is counted as the first term for most purposes). Budgeted enrollments at Davis included summer enrollment starting with summer 2002. As part of the phase in of summer funding, in 2005-06, budgeted enrollments included about half of the summer enrollments at the remaining campuses: Irvine, Merced, Riverside, San Diego, and Santa Cruz. Beginning in 2006-07, budgeted enrollments included all summer enrollments at all campuses.

**Campus Enrollments**  
**Fall 2006 Actual Headcount <sup>1</sup>**

	Undergraduate <sup>2</sup>	Graduate	Total	Health Sciences	Grand Total
UCB	23,863	9,291	33,154	779	33,933
UCD	23,458	4,911	28,369	2,106	30,475
UCI	20,822	3,799	24,621	1,250	25,871
UCLA	25,338	8,816	34,154	4,064	38,218
UCM	1,210	76	1,286	0	1,286
UCR	14,860	1,966	16,826	49	16,875
UCSD	21,369	3,860	25,229	1,639	26,868
UCSF	0	0	0	4,326	4,326
UCSB	18,218	2,864	21,082	0	21,082
UCSC	13,961	1,403	15,364	0	15,364
UCwide	163,099	36,986	200,085	14,213	214,298

Source: *Statistical Summary of Students and Staff*, Fall 2006, Tables 1b & 1c  
<http://www.ucop.edu/ucophome/uwnews/stat>

**2006-07 Budget Plan**  
**Budgeted FTE <sup>3</sup>**

	Undergraduate <sup>2</sup>	Graduate	Total	Summer <sup>4</sup>	Health Sciences <sup>5</sup>	Grand Total
UCB	21,520	7,925	29,445	2,880	779	33,104
UCD	20,930	4,160	25,090	2,060	2,106	29,256
UCI	19,873	3,275	23,148	1,595	1,250	25,993
UCLA	22,525	7,590	30,115	3,035	4,064	37,214
UCM	1,570	180	1,750	50	0	1,800
UCR	13,295	2,070	15,365	905	49	16,319
UCSD	20,470	3,430	23,900	1,395	1,639	26,934
UCSF	0	0	0	0	4,326	4,326
UCSB	16,810	2,915	19,725	2,200	0	21,925
UCSC	13,575	1,490	15,065	615	0	15,680
Reserve	105	75	180	0	0	180
UC-wide	150,573	33,110	183,783	14,735	14,213	212,731

Source: UC Office of the President Budget Office, August 2006 (Estimated-0607-november06.xls).

<sup>1</sup> Fall Headcount includes students in self-supporting programs (3,450 students).

<sup>2</sup> Includes credential students in postbaccalaureate education programs.

<sup>3</sup> State-funded enrollments, including summer education credential programs at all campuses and UC summer enrollments at all campuses.

<sup>4</sup> Summer FTE includes graduate students.

<sup>5</sup> UCLA includes Drew Medical Center (218 budgeted enrollments).

# The California Master Plan for Higher Education

The 1960 Master Plan for Higher Education was approved in principle in 1959 and significant portions of the plan were enacted into statute in 1960. However, many of the key aspects of the Master Plan that were implemented were never enacted into law. Subsequent reviews, including a review completed in 2002, of the Master Plan have reaffirmed its core tenets while revising some details of the plan. The Master Plan:

- identifies the mission and function of each public higher education segment,
- creates thresholds of eligibility for admission to each public segment, and
- ensures opportunities for educational advancement to students and adults.

## ***Mission and Function***

- UC is to provide undergraduate and graduate instruction in the arts and sciences, and in the professions, including teacher education.
- UC is granted “sole responsibility” in public education to award the doctorate, except that CSU can award a specific doctorate in Education (Ed.D.) focused on educational leadership and joint doctorates with UC or independent institutions in selected fields.
- UC is assigned “exclusive jurisdiction” in public higher education over training in the professions of law, medicine, dentistry, and veterinary medicine.
- UC is designated as the “primary state-supported academic agency for research.”
- CSU’s mission includes undergraduate instruction in the liberal arts and sciences including graduate instruction

through the master’s degree, professional education, and teacher education.

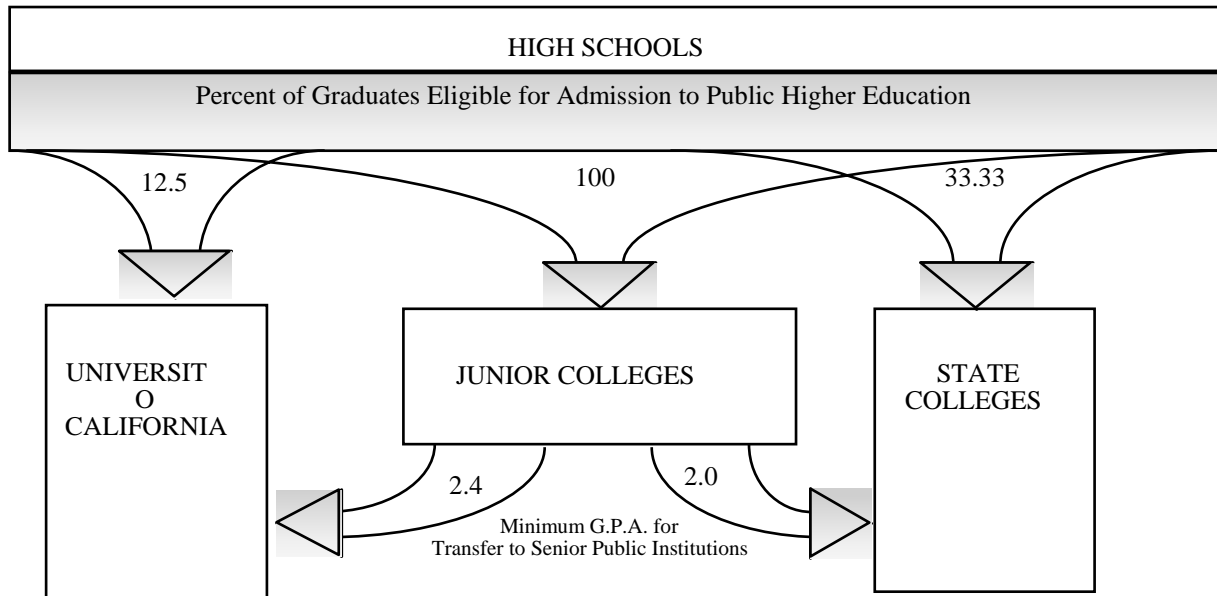
- Community Colleges are assigned the responsibility of offering academic and vocational education at the lower division level (including a transfer curriculum), remedial education, adult non-credit education, and workforce training.

## ***Thresholds of Eligibility for Admission***

- University of California: the top one-eighth or 12.5% of California public high school graduates will be **eligible** for admission.
- California State University: the top third of California public high school graduates will be **eligible** for admission.
- Community College: accepts any person over 18 years old. Students can prepare for transfer admission to UC at the advanced standing level.

## ***Opportunities for Advancement for Motivated Students***

- Students not eligible for UC and CSU admission upon high school graduation may establish eligibility upon the satisfactory completion of specified coursework at a California Community College (CCC). All adults are eligible to attend a CCC whether or not they have completed high school.



Source: "A Master Plan for Higher Education in California, 1960-1975," California State Department of Education, 1960

To ensure that this opportunity is extended, UC is expected to target upper-division enrollment at least at 60 percent of the total undergraduate population, which is accomplished by enrolling transfer students. (This policy is called "60:40".)

### **How do we determine eligibility?**

In order to recognize an applicant as being part of the "top 12.5 percent," the University establishes eligibility criteria that are based on courses taken, scholarship, and standardized examinations. The Academic Senate has the responsibility for recommending appropriate criteria and requirements to the Board of Regents.

The Academic Senate has charged one of its standing committees, the Board of Admissions and Relations with Schools (BOARS), with the task of developing eligibility criteria. The subject and scholarship components of eligibility require a minimum high school GPA in specified academic courses, enumerated as "a-g" required subjects. The standardized examination requirement, starting in 2006, is either

the SAT Reasoning Test or the ACT Assessment plus Writing; as well as two SAT Subject Tests from different areas, chosen from: history, literature, mathematics (Level 2 only), science, or language other than English.

A minimum specified total score is required for all freshman applicants on all required tests (ACT or SAT I and two SAT II tests) according to an Eligibility Index, which combines test scores and GPA. This index is applicable to students who establish eligibility in a statewide context. It is not applicable to students achieving Eligibility in the Local Context (see below).

[http://www.universityofcalifornia.edu/admissions/undergrad/adm/paths\\_to\\_adm/freshman/local\\_eligibility.html](http://www.universityofcalifornia.edu/admissions/undergrad/adm/paths_to_adm/freshman/local_eligibility.html)

In 2001, an additional path to eligibility was established. Eligibility in the Local Context (ELC) requires students to have completed a specific 11-unit pattern of coursework by the end of their junior year and to have a UC-calculated GPA in the top 4 percent of their high school class. Students who are eligible in the local context do not need to meet the eligibility index, but must take the SAT Reasoning Test or the ACT Assessment plus Writing and

two SAT Subject Tests and satisfactorily complete all 15 required courses by the end of their senior year.

Eligibility criteria are periodically evaluated through a CPEC/UC review of transcripts and test scores to estimate the percent of California public high school graduates they are yielding. If significantly more (or fewer) than 12.5 percent meet the eligibility criteria, the University modifies the requirements to yield an eligibility pool closer to 12.5 percent. The most recent review, published in May 2004, examined public high school students who graduated in 2003. It was preceded by seven similar reviews since 1960.

The number of eligible students is always an estimate. That is, it is estimated that the students meeting the specified eligibility requirements will be approximately equal to 12.5 percent of the public high school graduating class. It is important to conduct periodic reviews to confirm the validity of the eligibility requirements in light of changes in high school curriculum, student preparation, and UC and CSU admissions requirements.

**Racial/ethnic eligibility:** CPEC's eligibility studies also estimate the eligibility of students in each major racial and ethnic group in the California population. Within the overall eligibility pool, there is a range of eligibility rates for the different racial and ethnic groups. The last CPEC study (2003)<sup>1</sup> showed the following:

African-American	6.2%	eligible
Asian-American	31.4%	
Latino	6.5%	
White	16.2%	
Total	14.4%	

**“Select from among.”** The 1960 Master Plan recommended that the University select first-time freshmen from the top 12.5 percent of

California public high school graduates. This recommendation established a mechanism to ensure a level of student quality. Subsequent Master Plan and University admissions policies and practices have been modified so that any eligible student who seeks admission to the UC system is to be offered a place (although it may not be at the student's choice of campus or program).

**Transfer eligibility:** Eligibility requirements for transfer vary depending on whether the students were UC-eligible as freshmen. For example, transfer students who were not originally eligible because they did not meet the scholarship requirement must complete a minimum of 60 transferable semester units with a GPA of 2.4 or better and also complete a specified course pattern. If the student was eligible for admission to the University when they graduated from high school, they are eligible to transfer if they have a C (2.0) average in their transferable coursework.

**The Master Plan and Fees:** The 1959 Master Plan Survey Team recommended that the University of California should be tuition-free to all residents of the state, although they should be expected to pay fees for services not related to instruction. This language was not included in the Master Plan legislation, but established an approach followed by UC and the State until budget cuts in the early 1990s were of such a magnitude that it forced The Regents to allow fees to be used for costs related to instruction.

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<http://www.cpec.ca.gov/completereports/2003reports/03-06.pdf>

# How Does the Admissions Process Work?

## ***Undergraduate Admissions***

UC instituted a multiple filing application system in 1986. Students apply to as many UC campuses as they choose, using a single application form. All applicants must meet the eligibility requirements recommended by the Academic Senate and approved by The Regents in order to be considered for admission to the University.

Campuses with sufficient enrollment capacity admit all applicants who meet the minimum eligibility requirements. Campuses where the number of applications from UC-eligible students exceeds the number of spaces available have developed special procedures to select students for admission. This selection process is guided by the undergraduate admissions policy adopted by The Regents in 1988 and related presidential guidelines amended in 1996 and 2001. The process also conforms to state law, which bans the use of race, ethnicity, and gender in admissions decisions.

The guidelines specify criteria campuses may use in selecting students for admission. Criteria to be examined include: GPA in required “a-g” academic courses, ACT or SAT I and SAT II scores, the number and content of, and performance in courses beyond the minimum required, the number and performance in University-approved Honors, Advanced Placement, and International Baccalaureate Higher Level courses as well as the availability of these courses at the applicant’s high school, eligibility in the local context, the quality of the senior year program, quality of academic performance relative to the educational opportunities, outstanding performance in one or more specific subject areas or field of study,

recent marked improvement, special talents, achievements, and awards in a particular field, completion of special projects, academic accomplishments in light of the applicant’s life experiences and special circumstances, and location of applicant’s secondary school and residence.

## ***Guidelines for Undergraduate Admissions: Guiding Principles for Comprehensive Review***

The Board Of Admissions And Relations with Schools (BOARS) defines comprehensive review as:

*the process by which students applying to UC campuses are evaluated for admission using multiple measures of achievement and promise while considering the context in which each student has demonstrated academic accomplishment.*

In designing campus procedures, campus admissions committees should adhere to the following guiding principles:

1. The admissions process honors academic achievement and accords priority to students of high academic accomplishment. At the same time, merit should be assessed in terms of the full range of an applicant’s academic and personal achievements and likely contribution to the campus community, viewed in the context of the opportunities and challenges that the applicant has faced.
2. Campus admissions procedures should involve a comprehensive review of applications using a broad variety of factors to select an entering class.
3. No fixed proportion of applicants should be admitted based solely on a narrow set of criteria.

### **Guidelines (Continued)**

4. Campus policies should reflect continued commitment to the goal of enrolling classes that exhibit academic excellence as well as diversity of talents and abilities, personal experience, and backgrounds.
5. Faculty on individual campuses should be given flexibility to create admissions policies and practices that, while consistent with Universitywide criteria and policies, are also sensitive to local campus values and academic priorities.
6. The admissions process should select students of whom the campus will be proud, and who give evidence that they will use their education to make contributions to the intellectual, cultural, social, and political life of the State and the Nation.
7. The admissions process should select those students who demonstrate a strong likelihood that they will persist to graduation.
8. Campus selection policies should ensure that no applicant will be denied admission without a comprehensive review of his or her file.

Faculty take their responsibilities for admission and selection very seriously. BOARS anticipates that campuses will act autonomously in designing campus-specific policies and processes that are consistent with Universitywide policies and guidelines. BOARS will continue to monitor campus policies and work with faculty to continuously improve the processes and outcomes. (Regents Item 302, November 7, 2001)

### **Students Admitted by Exception**

Up to six percent of new enrolled undergraduates may be admitted **by exception**. This process allows admission of ineligible students who show unusual promise and potential. In recent years about two percent

of undergraduate students have been admitted by exception.

### **Referral Pool**

Not all students may be admitted to the campuses to which they have applied. Freshman applicants who are UC-eligible and have not been admitted to any of the campuses to which they applied are placed in a **referral pool** and offered the opportunity to enroll at an alternate campus. The referral pool applies only to California residents.

### **Undergraduate Admissions Calendar**

November: High school seniors and potential transfer students submit a single application to UC, listing all campuses they want to attend. Campuses with space available may extend this deadline. The application fee is \$60 per campus.

UC contracts with a central processing agency (currently the Educational Testing Service) to process all applications and fees, and to forward application data to the campuses.

January-February: Campuses review applications to determine who will be selected for admission among the pool of eligible applicants.

March: The campus notifies freshman applicants of their status: (a) admitted; (b) admitted by exception; (c) denied with options: admission deferred to winter or spring, or after two years of community college if certain requirements are met; (d) denied without options; (e) denied because not eligible. Transfer admissions may continue through May 1.

## ***Undergraduate Admissions Calendar (continued)***

March/April: OP conducts the freshman referral process.

May 1: Admitted freshman students notify the campus where they intend to enroll, if any, by submitting a **Statement of Intent to Register (SIR)** and \$100.

(Transfer acceptance deadline is June 1.)

May: OP conducts the California Community College transfer referral process.

## ***General Campus Graduate Academic and Professional Admissions***

**Graduate academic** and **graduate professional** admissions are handled locally.

Prospective students apply directly to the department or professional school in which they wish to enroll, with overall admission coordinated through the campus Graduate Division (except in certain professional schools, such as Law). Units have targets for enrollment, but also have discretion in deciding whether to fill all openings, depending in part on the availability of financial support for students.

Graduate admissions depend on several measures, including undergraduate grade point average and GRE scores, as well as letters of recommendation, interviews, and assessment of the “fit” between student interests and faculty expertise.

Because admission and enrollment patterns differ by discipline, measures of the relationship between applications, admissions, and enrollment at the campus level are less meaningful for graduate students than for undergraduate students. Admissions and enrollment data by campus and discipline are available from the Office of the President from 1986 to the present. However, academic achievement data, such as GRE scores, are not available at OP for all campuses.

## ***Health Sciences Admissions***

Students apply directly to the health sciences school (e.g., UCSF School of Pharmacy and schools of Medicine). Each school sets its own criteria and admissions procedures, consistent with University policies.

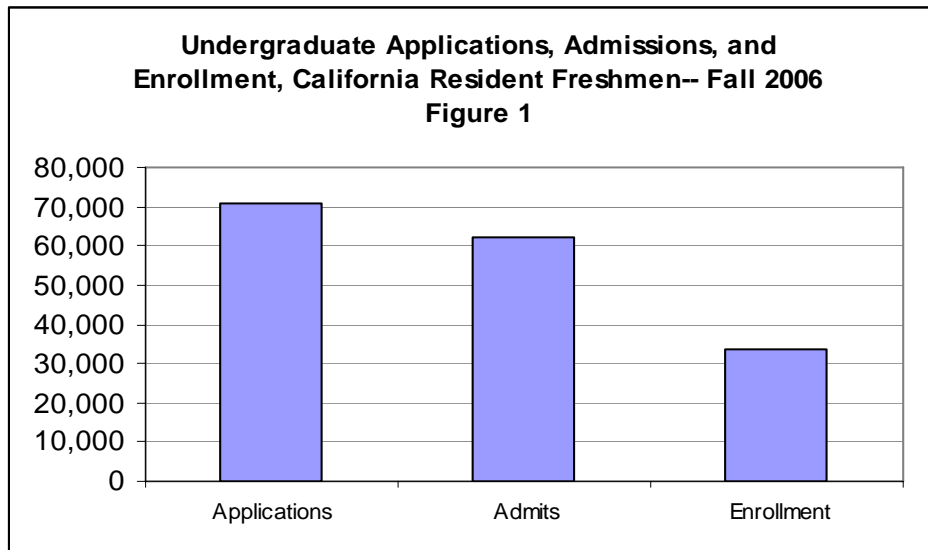


## How Do We Measure Undergraduate Admissions Activities?

The relationships of applications, admissions, and actual enrollment are indicators of student interest in the University and of the relative appeal of individual campuses. These data are often combined with measures of academic achievement to add dimensions of competitiveness and student quality.

Most undergraduate applicants meet the University's eligibility requirements, which are widely distributed and clearly stated. Therefore, students who do not meet the requirements do not usually apply. It is not unusual then that a high overall percentage of applicants are admitted to UC. However, the percentage admitted at each campus varies greatly.

Campuses admit students with an eye toward the number of students who are likely to enroll. While all eligible California resident students are guaranteed a place somewhere within the UC system, not all eligible students can enroll at their campus or in the program of choice. The following figures show the freshman **admit rate** and the **take rate** at each campus and for the University as a whole for Fall 2006. Depending on the campus (and excluding Merced), it takes 5.8 to 9.4 applicants, and 2.3 to 6.2 admits to yield one enrolled student. Since campuses also compete with one another for students, an increased admit rate at one campus may decrease the take rate at another campus.

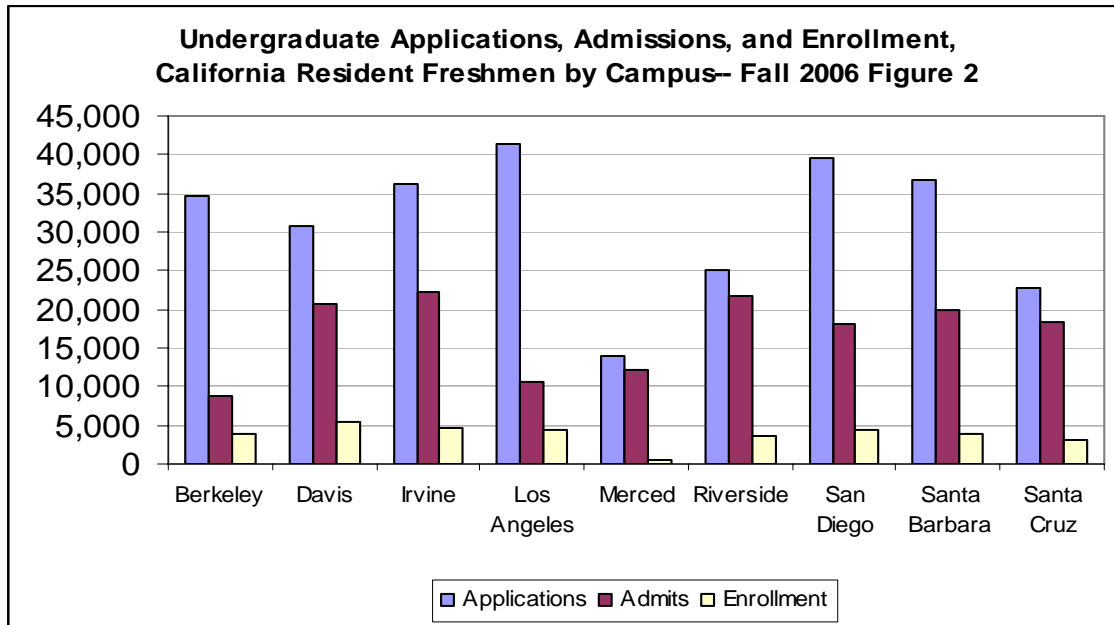


	Universitywide
Admit Rate	88%
Take Rate	54%

Source: Corporate Data: CSSR0011—All Purpose Applications, Admissions, Enrollment. May 16, 2007.

The Universitywide percentages are not averages of campus rates. Rather, Universitywide percentages report unduplicated applications and enrollment, so that each applicant is counted only once. Admitted students are students who applied for Fall admission and were admitted to a campus or

put in the referral pool for Fall. Students who applied for Fall and who were admitted in Winter or Spring are not included in this Universitywide figure. The campus rates below are the duplicated rates for each campus independently.



Admit Rate (%)	25%	68%	61%	26%	88%	87%	46%	54%	80%
Take Rate (%)	44%	26%	21%	41%	3%	16%	24%	20%	17%
	B	D	I	LA	M	R	SD	SB	SC

Source: Corporate Data: CSSR0011—All Purpose Applications, Admissions, Enrollment. May 16, 2007.

# How Do We Measure Student Progress After Admission?

## **Overall Progress**

Another important aspect of enrollment measurement, in addition to counting the number of new enrollments, relates to how many students continue to be enrolled, and how long it takes for them to complete their undergraduate or graduate degrees. Three useful measures include: **persistence**, a method of measuring continuing enrollment; **graduation rate** and **time to degree**, two measures of the time it takes for students to graduate.

For undergraduates, extensive data are available for these three measures, by sex or ethnicity, by type of admission (regular or by exception, freshman or transfer), by campus, and in comparison to other institutions. Cohort data date back to 1983.<sup>2</sup>

Some data are also available for graduate academic and professional students, although they are more meaningful at the discipline level than at the campus level. The UC Graduate Longitudinal Data System tracks cohorts of graduate students from 1985.

## **Persistence**

For undergraduates, persistence rates measure the proportion of an entering class or cohort of students who return to enroll in their second and third years and beyond. They are calculated on a fall-to-fall basis and therefore do not take into account students who drop out for one or more intervening terms. (See also **Continuation/Retention** in Glossary). Some data on doctoral student persistence rates after two years are available.

## **Graduation Rates**

Graduation rates measure the proportion of undergraduates in a particular cohort who graduate within 4, 5, or 6 years. This measure relates to overall time elapsed, disregarding terms the student may have stopped out. Six-year undergraduate rates are most typically used in comparing colleges and universities nationally. (For graduate students, completion rates—analogueous to undergraduate graduation rates—may be used to measure the proportion of students who complete the intended degree within any time period that includes almost all completers—e.g., ten years for doctoral students).

## **Registered Time to Degree**

This time-to-degree measure calculates the number of terms a student is actually enrolled between date of entry and date of degree being awarded. This measure more accurately reflects the actual time required for a student to achieve a degree because it counts only the terms that the student was enrolled, regardless of the time elapsed. It is used to measure both undergraduate and graduate progress.

## **Elapsed Time to Degree**

This time-to-degree measure calculates the total number of terms between the time the student entered the university and the date the degree is awarded. It is typically used to measure graduate progress, since many graduate students stop out for a period of time, but it can be appropriate for undergraduate progress although it is rarely reported.

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<sup>2</sup> See: <http://www.ucop.edu/sas/infodigest/index.html>

## Measures of Progress: Regularly Admitted Freshmen

	<u>Persistence</u>		<u>% Graduating</u>		<u>Average Registered</u>
	<u>One Year %</u>	<u>Two Year %</u>	<u>in 4 years</u>	<u>in 6 years</u>	<u>Time to Degree Number of Quarters</u>
Berkeley	97.1%	93.0%	54.9%	89.5%	12.4
Davis	91.6%	84.8%	37.2%	78.6%	12.9
Irvine	93.1%	86.1%	36.7%	80.6%	12.9
Los Angeles	96.8%	90.6%	49.1%	89.5%	12.6
Merced					
Riverside	87.5%	75.5%	32.7%	66.4%	12.9
San Diego	95.1%	88.4%	46.5%	86.1%	12.7
Santa Barbara	90.3%	81.2%	48.6%	80.4%	12.2
Santa Cruz	88.3%	77.1%	45.0%	70.7%	12.2
U-wide	92.6%	84.8%	44.0%	80.9%	12.6

1. Source: Corporate Student System, May 11, 2007. Data pertain to the most recent year available: persistence: cohort year entering fall 2004; graduation rate and time to degree: cohort entering fall 2000. Note that this table includes two different cohorts of students and does not track a single population of students.

The data presented here may reflect somewhat longer times to degree and lower graduation rates than calculations prepared by campus staff. The key difference in the calculations comes from the way in which summer degrees are handled. In campus calculations, students who received their degrees during the summer are not counted as having enrolled in an extra quarter (fall) in the calculation of their time to degree or graduation rates, whereas in these calculations, students who receive their degrees in the summer are counted as having enrolled in fall. This adds an extra quarter in the calculation of time to degree and graduation rate. There are also differences depending on whether all students or only regularly admitted students are included.

Berkeley semester data are converted to quarter system equivalent.

# How Does UC Make Enrollment Projections?

## ***Factors Affecting Enrollment Projections***

Undergraduate projections. The University monitors student enrollment demand on a continuing basis and has published several long-range enrollment projections over the years. Since the adoption of the Master Plan for Higher Education in 1960, undergraduate enrollment projections have been made with the assumption that some portion of the top 12.5 percent of the high school graduating class would attend UC. Four factors are at play in these projections:

- Projections of the size and composition (e.g., race, ethnicity, gender, county location) of the high school graduate population. Source data are DOF's annual projections of high school graduates.
- Estimates of the level or rate of freshman **participation** (the portion of those high school graduates who will choose to attend UC).
- Estimates of the number of transfer students.
- Assumptions about the **continuation rate**, i.e., the number of enrolled students who remain and progress from one level to the next.

UC planning staff relies on a variety of modeling techniques to project undergraduate enrollment demand and work closely with staff in the Demographic Research Unit in the Department of Finance in analyzing statewide trends in actual and projected high school graduates. Efforts are ongoing to develop new analytical models to improve

our understanding of changing collegiate participation rates among high school graduates during the 1980s, 1990s, and 2000s as a basis for projecting future long-term enrollment demand. Understanding the factors that influence students' choice of where to attend college—fees, financial aid packages, location, prestige—is an important part of these modeling efforts.

Graduate enrollments. Unlike undergraduate projections, graduate enrollments are not demographically based. Near-term enrollments (one to five years) are negotiated with the campuses, the Governor, and the Legislature in the annual State budgeting process. Long-range planning estimates of graduate student enrollments are based on

- analyses of job market needs for future faculty, professionals, and other positions requiring advanced degrees;
- examination of program quality and internal needs for program balance;
- assessment of the likelihood of funding to the University for graduate education; and,
- assessment of the availability of support for the students themselves.

Professional health sciences enrollments are also negotiated and are tied to analysis of the needs of the California population, particularly for type of practitioner (e.g., family practice physicians). Health sciences graduate academic enrollments (i.e., Ph.D. enrollments) are also included in health sciences projections.

# What is the History of UC's Projections? What are the Current Planning Assumptions?

## History of Projections

Long-range planning efforts since the Master Plan was adopted have generally been either too optimistic or too pessimistic because they have not taken sufficient factors into account. Figures 3 and 4 demonstrate both the difficulty of making accurate long-term projections, and the importance of making them often, before reality (reflected in the boxed line of actual enrollments) diverges too much from plans.

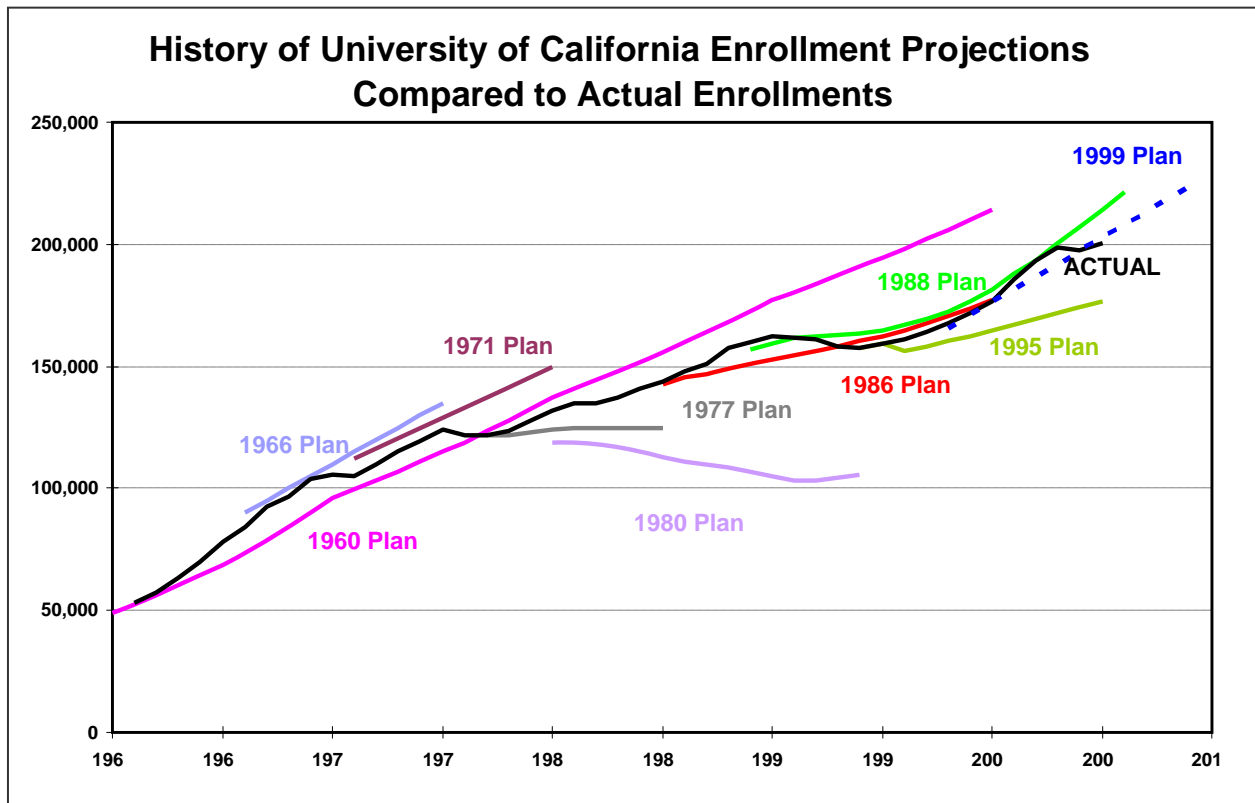


Figure 3  
(Broken black line is actual year-average headcount for general campus and health sciences)

### **1988 Plan**

In the mid-1980s, State forecasters projected huge growth in the number of high school graduates, which translated into similar projected growth for UC. Campuses engaged in long-range planning exercises producing LRDPs, which established campus capacity limits through the year 2005-06. Total UC enrollment was projected to exceed existing campus capacity by the late 1990s and it was determined that up to three new UC campuses would have to be built to accommodate these additional enrollments after building out existing campuses.

It was assumed that existing campuses would achieve a minimum of twenty percent general campus graduate enrollment and that health sciences enrollments would remain constant. Undergraduate participation rates were high in the mid-1980s and it was assumed they would continue or even increase. The budgeted student-faculty ratio at the time was 17.6:1.

### **Changes in Projections of High School Graduates**

Significant shifts in California's population occurred in the early 1990s, with significantly reduced expectations of the number of high school graduates expected to appear after the turn of the century. Figure 4 shows that the 1995 projections were significantly lower than the 1990 projections. A recovering economy resulted in a growing population, as projections in recent years (since 1995) show. (See Figure 4 on the next page).

The steep increase in high school graduates, particularly after 2005, has given rise to the term "Tidal Wave II." DOF's 2004 projection were the highest since 1995 and shows high school graduates peaking by the end of the decade. The 2005 projection was lower, but continues to show growth through the end of the decade, followed by a slight decline. Long-term projections are conjectural and subject to changes in the economy and social behavior; however, they provide an important reference point for University planning.

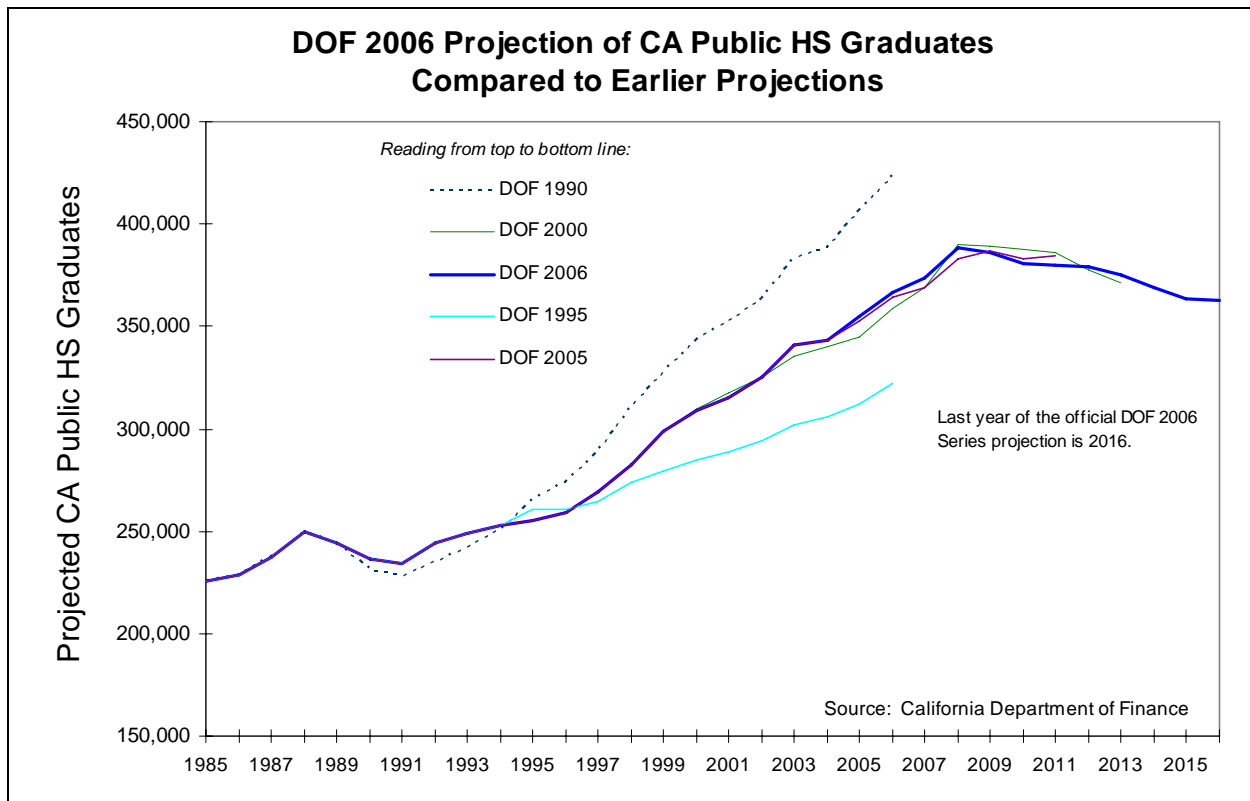


Figure 4

Figure 4 illustrates the changes in the projected number of California public high school graduates as published by the State of California Department of Finance. The numbers provide the foundation of University of California enrollment planning.

### **Universitywide Enrollment Planning Assumptions Since 1988**

The budget crises of the early 1990s, combined with significant decreases in the projected number of high school graduates made the 1988 Plan appear to be unrealistic and unachievable. In 1994-95, the Office of the President engaged campuses, the Academic Senate, and The Regents in a series of analyses and discussions, which resulted in a ten-year enrollment estimate, through 2005-06.

The 1995 long-range enrollment planning assumptions resulted in significantly lower

projections of enrollment by 2005-06 than the 1988 plan. The percentage of graduate students was also lower than previously planned for 2005-06.

### **Annual Monitoring of Enrollment Assumptions**

Recognizing the volatility of the enrollment planning environment, the Office of the President instituted an annual review of underlying demographic, financial, and other assumptions in order to make mid-course corrections to enrollment estimates, if necessary. By 1998-99 there were enough changes in demographics and in policy to warrant new long-range projections. Some



of the changes leading to new enrollment planning projections in 1999 included:

- Significantly higher growth in high school graduates than had been projected in the mid-1990s.
- Undergraduate participation rates that have increased annually over the levels on which the 1995 estimates were based.

### **1999 Planning Projections**

A presentation to The Regents in October 1999 presented enrollment projections extending to 2010-11. DOF's 1998 projections of UC enrollments, as well as UC's own projections showed that enrollment in 2010 could exceed campus capacity (as defined in Long Range Development Plans) by as many as 24,000 FTE students. The challenge of accommodating these students (63,000 additional students between 1998-99 and 2010-11) given limited capital resources to provide the necessary facilities, led to agreements with the State to convert self-supporting summer sessions to State-supported summer instruction. The idea was to provide a summer program sufficiently attractive to students that they would attend in summer, graduate in four years or fewer, and free up spaces for additional students.

Berkeley, Los Angeles, and Santa Barbara, received full funding starting summer 2001, Davis in summer 2002, and the remaining campuses funded over two budgets, 2005-06 and 2006-07. That is, the State has provided full marginal cost funding for enrollments that were previously self-supporting and not counted in the State funding formulas.

Other options being developed to accommodate this substantial growth include changing LRDP enrollment targets at some campuses and increasing off-campus en-

rollments to relieve the pressure on campus facilities. Finally, the Merced campus opened in fall 2005, which provides the University with additional capacity for growing enrollments.

### **Review of the 1999 Projections**

The 1999 Plan projected 210,000 FTE students by 2010-11 (with UC Merced opening in 2005), plus 6,500 self-supporting summer FTE who would be added to UC's state-funded enrollments. Between 2000-01 and 2003-04 the University experienced far more rapid enrollment growth than projected in the 1999 plan, averaging closer to 8,000 FTE per year rather than the 5,000 FTE enrollment growth projected earlier. However, following a budgeted enrollment decrease in 2004-05, enrollment for the last two years has been closer to the 1999 plan. The Compact negotiated in 2004 with Governor Schwarzenegger called for UC to return to its earlier estimates of 2.5% enrollment growth per year, which has allowed the University to return to enrollment levels near those envisioned in the 1999 plan. This growth was included in the 2005-06 and 2006-07 budgets.

A new long-range enrollment plan is expected to be developed in 2007-08 to take the University planning to 2015 or beyond.

### **Other Projections**

The University is not alone in making enrollment projections. DOF also produces postsecondary enrollment projections annually for the State, including enrollment estimates for UC, CSU, and CCC.<sup>3</sup>

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<sup>3</sup> State of California, Department of Finance, *California Public Postsecondary Enrollment Projections*,

CPEC also periodically issues enrollment projections. The latest of these, released in June 2004, also points to an increased enrollment for UC and the other segments.<sup>4</sup>

Their projections are slightly lower than those produced by DOF and UC, primarily because they project transfer enrollments below the level of the MOU with the Community Colleges. CPEC's "Providing for Progress" highlights the challenge facing California's public higher education segments to accommodate over half a million additional students with only limited capital funding available.

## Projections of Campus Enrollments

Once Universitywide projections are determined, long-range campus enrollment targets are established through a consultive process between the Office of the President and the Chancellors. Campuses consider their academic plans, physical capacity, recent enrollment history, and long-term goals in the development of long-range enrollment targets.

Campuses prepare physical plans, known as Long Range Development Plans or LRDPs, to guide the construction of facilities and infrastructure to accommodate planned growth.

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2004 Series, Sacramento, California, November 2004.

<http://www.dof.ca.gov/HTML/DEMOGRAP/ReportsPapers/Projections/Enrollment/Postsecondary/PostSecondaryProjections.asp>

<sup>4</sup> *Student Access, Institutional Capacity, and Public Higher Education Enrollment Demand, 2003-2013*, California Postsecondary Education Commission, June 2004.

<http://www.cpec.ca.gov/completereports/2004Reports/04-07.pdf>

# What Role Does Enrollment Play in the Acquisition and Allocation of Resources to the Campuses?

## **Resource Acquisition**

The University presents annually to the State a single budget for the ten-campus system. For several decades, the University has used a formula to estimate funding needed for enrollment growth based on the cost of adding each additional student (the marginal cost of instruction). The University's funding request for enrollment traditionally has been based on this workload formula.

In 1996, the University reached agreement with the State to revise the marginal cost of instruction to better reflect workload costs. The current marginal cost of instruction is based on a student-faculty ratio of 18.7:1 and includes funding for student services, instructional equipment, institutional support, library support, instructional support, as well as faculty salaries and related health benefits.

Supplemental language to the 2005 Budget Act requests UC, CSU, the Department of Finance, and the Legislative Analyst's Office to review the marginal cost formula and recommend changes for the 2006-07 budget.

In addition to marginal cost, a Regental policy since 1994 has permitted the use of Educational Fee revenue for general support of the University's operating budget, including costs related to instruction.

A Compact with Governor Schwarzenegger represents a phased, multiyear plan for funding the University through 2010-11 that includes an agreement to fund enrollment

growth consistent with the Master Plan.<sup>5</sup> The University estimated that growth to be 5,000 FTE per year through the remainder of this decade. To ensure the University has adequate resources to provide a quality education for those students who enroll, the Compact proposes funding for basic budget increases of three percent in 2005-06 and 2006-07 and four percent annually through 2010-11. This support will help the University fund salary and merit salary increases, health benefits, maintenance of new space, and other cost increases to the budget. The funding level proposed in the Compact is for basic operations. The Compact also envisions additional support may be provided for initiatives and one-time purposes as the State's fiscal situation permits.

Notable features in the Compact include:

- Phase in of State support for summer enrollment on campuses not currently receiving State support, to be funded as part of the normal annual enrollment workload increase. This phase in was completed in the 2006-07 year.
- A long-term student fee policy for undergraduates and graduate academic students contingent on the provision of adequate resources to support the University's basic operations. Student fee increases should be based on the rise in California personal income. However, in years in which the University determines that fiscal circumstances require increases that exceed the rate of growth in per capita personal income, UC may decide that fee increases of up to 10 per-

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<sup>5</sup> [www.universityofcalifornia.edu/news/compact](http://www.universityofcalifornia.edu/news/compact)

cent are necessary to provide sufficient funding for programs and preserve quality. Revenue from student fees is to stay with the University and not offset reductions in State support.

- UC also agreed to make progress toward the Governor's policy expectation that graduate academic student fees are to be 50 percent higher than undergraduate fees.
- Professional student fee levels will be based on consideration of a variety of factors, including fees at comparison institutions, market conditions, cost of instruction, and the State's needs for more graduates in a specific discipline. The revenue is to stay with the University.
- The University will work to improve the number of K-12 science and math teachers, along with CSU. A major initiative to accomplish this goal was launched in 2005-06. Ultimately, the University will quadruple its production of students with teaching credentials in science and math to 1,000 students by 2010-11.
- The University will provide information on a number of measures of efficiency and outcomes.

### ***Resource Allocation***

State funds are appropriated to the University for programs and specific projects, within the context of agreements reached in budgetary negotiations. The Office of the President (OP) then makes allocations to the campuses. Until 1991-92, general campus Instruction and Research (I&R) allocations were based on a weighted student-faculty ratio: graduate enrollments were weighted more than undergraduate enrollments. Allocations after 1991-92 were made in specific response to the severe State budget cuts, and did not follow the historic pattern.

Beginning in 1996-97 a new method was adopted for allocating enrollment funding to the campuses that includes the following:

- An allocation for agreed-upon budgeted enrollment growth. General campuses receive a set amount of money for each additional FTE student based on an agreed-upon enrollment plan, with no weighting for graduate enrollments. The rate was \$9,030 for 2003-04. In 2004-05 there were no funded enrollment increases. In 2005-06 the rate was \$7,528. A new marginal cost rate was negotiated for 2006-07 and the rate is \$9,900. Allocations for enrollment growth are to help support areas of the budget that are at least partially workload driven, i.e., student services, instructional equipment, institutional support, library support, instructional support, faculty salaries, and benefits. The formula also includes funding for maintenance of new space.
- The Compact assumes that UC and CSU will retain student fee revenue without a corresponding reduction in State funds which, together with State funds provided each year, will be used to both help meet their budgetary needs and recover from the current fiscal crisis.
- Starting in 1994, The Regents approved professional school fees for certain professional schools (Business/Management, Law, Medicine, Pharmacy, Dentistry, Nursing, Veterinary Medicine, Optometry, and UCLA's Theater/Film/ Television); the revenue from these fees is intended to partially offset State general fund budget cuts and to help the programs maintain quality.

## ***Campus Enrollment Plans***

In consultation with the campuses, the University monitors campus enrollments and adjusts, as part of the budget process, campus enrollment targets annually. Many factors—demand and availability of resources among the most significant—affect the choices about how and where to grow.

A campus does not receive State funds for students enrolled above the budgeted level (for the current year) until they are over-enrolled by more than one percent, in which case, historically funds have been provided on an “as available” basis. The campus generally keeps the increased fee revenue associated with these students. As with all new fee revenue, a portion of any increase in fee revenue will be used for financial aid.

To ensure that State funds for enrollment growth are used to enroll California residents but provide the University with some margin of error in reaching its enrollment target, the 2006-07 Budget Act contained language requiring the University to return enrollment growth funding if the University does not meet its enrollment target by more than 0.5% of the California resident FTE student target of 193,455 (i.e., is under-enrolled by more than 257 students).

## ***Accountability***

Implementation of this unweighted methodology provided campuses with significantly greater flexibility than the previous allocation methodology. Along with the budgetary control that was delegated to the Chancellors on July 1, 1996, each campus has been held accountable to contribute to the University’s overall success in meeting the following commitments as outlined in

the new Compact agreement<sup>6</sup> with Governor Schwarzenegger:

- To the extent resources are provided, continue to offer a space to all eligible California high school graduates wishing to attend the University.
- Continue to provide students with the classes needed to graduate in a timely manner by maintaining increased faculty teaching loads. The longer-term goal is to phase in a return to the historical student-faculty ratio of 17.6 to 1, with the increase in faculty devoted to strengthening the quality of undergraduate education.
- Ensure that restoring funding for competitive salaries for faculty and staff is a high priority.
- Maintain faculty workload policies that are comparable to those at other institutions.
- Continue commitment to maintain improved student outcomes with respect to graduation and retention rates.
- Continue progress in articulation of courses with the California Community Colleges, including a commitment to achieve major preparation agreements with all colleges by 2005.
- Commit to playing a greater role in the preparation of K-12 teachers by working with industry, CSU, and K-12 to produce more science and mathematics teachers.

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<http://www.universityofcalifornia.edu/news/budget/compact2005report.pdf>

## ***Accountability (continued)***

- Continue efforts to maximize support from private, federal, and other fund sources.
- Report annually and show the three-year trend for the following measures:

### ***Efficiency in graduating students***

- Number of undergraduate degrees awarded;
- Number of graduate and professional degrees awarded, including detail on degrees awarded in fields that are high priorities for meeting state workforce needs (mathematics, engineering, computer science, and other science fields);
- Average time to degree for undergraduates;
- Total number and percent of graduating undergraduates who have accumulated excess units required for their degree, as determined by the segments, and the average number of excess units accumulated by these students;
- Persistence and graduation rates for freshmen and California Community College (CCC) transfer students;
- Number of undergraduates admitted as freshmen who leave in academic difficulty;
- Number of undergraduates admitted as (CCC) transfer students who leave in academic difficulty.

### ***Utilization of Systemwide resources***

- Student-to-faculty ratio;
- Instructional activities per faculty member;
- Percent of total State-funded salary and benefit expenditures dedicated to direct teaching staff;

- Rate of change in total State-funded staff salary and benefit expenditures for instructional staff, administrative staff, and other student and public service staff;
- Faculty honors and awards;
- Information on technology transfer, including progress in achieving industry-university partnerships, number of patents, total annual income generated by UC-held patents, the proportionate split of those revenues between the University and third parties, and UC's annual patent-related legal costs;
- Federal, private, and other support for research;
- Total State-funded expenditures and staff levels for the President's and Chancellor's Offices, together with rates of change from the previous year.

### ***Student-level information***

- Total enrollment (both headcount and FTE), by class level;
- Number of new CCC transfer students enrolled (headcount and FTE);
- Number of new freshmen enrolled (headcount and FTE);
- Number and percent of new freshmen and CCC transfer students who were admitted by exception;
- Progress on achieving course articulation agreements with CCCs;
- Number and percent of undergraduates who did not meet the UC entry level writing requirement for reading comprehension before entering UC.

## ***Capital Planning Issues***

The capital program is developed years in advance of the time when new or renovated space, or expanded infrastructure, will actually be needed. It takes several years to plan, design, and construct facilities, and then to work through the queue of other high priority capital projects. The State-funded capital program relies on enrollment projections of seven to ten years, coupled with space planning and budgeting guidelines, to determine the necessity for adding new instruction and research and library space to the campus inventory. In addition, the non-State program relies on even longer-term enrollment projections in order to determine the financial advisability of entering into long-term debt to build student housing and student-financed facilities such as recreation centers and student unions.

It should be noted that the pressure of enrollment growth is occurring at a time of severely constrained capital resources. Both the State and the University are facing limits on debt capacity, and few other substantial resources are available. Even fund-raising, an increasingly important method of capital funding, is limited in its ability to meet the full scope of a campus's capital needs.

## Glossary

### **Admit Rate**

The portion of applicants that are admitted to a campus. (Undergraduate data must be “unduplicated” for Universitywide calculations because students may be admitted to more than one campus. Because graduate admissions are decentralized, University-wide admit and take rates include duplicated counts of students applying to more than one campus.)

### **Advancement to Candidacy**

When a Ph.D student has completed all of the requirements for the doctoral degree except the dissertation, they may be advanced to candidacy, which entitles them to reduced fees since they are no longer taking classes. Most departments have time limits on the amount of time a student can be enrolled before they need to advance.

### **“a-g” Subjects**

The following sequence of high school courses is required by the University of California of high school students to be minimally eligible for admission. The a-g requirements can be summarized as follows:

a – History/Social Science - Two years required, including one year of world history, cultures, and geography and one year of U.S. history or one-half year of U.S. history and one-half year of civics or American government.

b – English - Four years of college preparatory English that include frequent and regular writing, and reading of classic and modern literature.

c – Mathematics - Three years of college preparatory mathematics that include the topics covered in elementary and advanced algebra and two- and three-dimensional geometry.

d – Laboratory Science - Two years of laboratory science providing fundamental knowledge in at least two of these three disciplines: biology (which includes anatomy, physiology, marine biology, aquatic biology, etc.), chemistry, and physics.

e – Language Other Than English - Two years of the same language other than English.

f – Visual & Performing Arts - One year, including dance, drama/theater, music, or visual art.

g – College Preparatory Elective - In addition to those courses required in "a-f" above, one year (two semesters) of college preparatory electives are required, chosen from advanced visual and performing arts, history, social science, English, advanced mathematics, laboratory science, and language other than English.

### **Comprehensive Review**

Each student’s record is analyzed not only for grades and test scores—important baseline indicators of academic potential—but also for accomplishments beyond the classroom that illustrate qualities such as leadership, intellectual curiosity, and initiative. These qualities play an important role in student success in an academic environment as rigorous and challenging as that of UC,



### ***Comprehensive Review (continued)***

and can be demonstrated through a variety of achievements and experiences.

Each application is given the same thorough reading by one or more evaluators who draw on 14 criteria for selecting freshman students. (for details see:

<http://www.ucop.edu/news/comprev/> )

All campuses use the same selection criteria to evaluate applications; however, the weight of each factor and the specific evaluation process differ from campus to campus.

### ***Continuation/Retention***

Continuation analysis is based on the number of students whose enrollment has not been interrupted (continuing students) and those who return after an absence (returning students). Continuation rates are one of the factors used in projecting undergraduate enrollments (along with assumptions about the number of new freshmen and transfer students).

Increases in continuation rates lead to higher enrollments because fewer students are dropping out. In fact, much of the 35 percent growth in undergraduate enrollments between 1975-1991 can be attributed to growth in continuing students.

### ***College-going Rates***

The California Postsecondary Commission defines the college going rate as: the number of students who graduated from California public or private high schools in a particular academic year, divided by the number of students age 19 or under who enrolled as first-time freshmen in one of California's public or private institutions of higher education in the following fall.

### ***Demand***

A term used in many ways, often causing confusion. For planning purposes at the University, freshman demand is assumed to be a measure of potential interest on the part of *eligible* high school graduates in attending UC. This potential interest, or demand, can be measured by the number of applications received. Several factors affect student demand causing it to rise and fall (e.g., perceived obstacles to attendance, such as cost; family expectations and history regarding college attendance; family income; and availability and attractiveness of other options).

### ***Eligibility***

Under the California Master Plan for Higher Education, the top 12.5 percent of California public high school graduates are eligible for admission to UC. Academic criteria are established to yield this pool of students. Periodic studies by CPEC confirm that the criteria are in fact identifying an eligible population that equals the 12.5 percent.

Eligibility criteria are based on courses taken, scholarship (grade point average) and standardized examinations (the ACT or SAT). Beginning with students entering the University in 2001, eligibility criteria include membership in the top four percent of one's graduating class. Students in the top four percent also have to have completed a specific number of the a-g courses by the end of the 11<sup>th</sup> grade to be eligible under the new eligibility path.

### ***General Campus***

All programs not included in the health sciences.

### ***Graduate Academic***

There is no universally accepted definition of a graduate academic. Recent planning documents have defined the category to include all graduate students in Letters and Science (L&S) and Engineering/Computer Science, and doctoral students in all other general campus programs (e.g., Education, Business). For planning and budget purposes, graduate academics in the health sciences are generally reported separately from general campus graduate academics, although they are included in financial support reports.

### ***Graduate Professional***

For general campus enrollments, graduate professional students are those pursuing master's level degrees in professional schools and programs. This includes Architecture, Business, Communications/Journalism, Education (except post-baccalaureates noted below), Law (J.D.), Library and Information Sciences, Pacific International Affairs (UCSD), Public Administration/Public Policy, and Social Welfare, and, for some purposes, M.F.A. enrollments in UCLA's professional school of Theater/Film/Television. Health sciences graduate professionals (including those in professional doctoral programs such as the M.D.) are generally reported separately from general campus graduate professionals.

This category is further broken down into programs in professional schools with differential fee structures. The special fee for selected professional school students currently includes students in Business/Management, Law, Medicine, Pharmacy, Dentistry, Nursing, Veterinary Medicine, Optometry, and UCLA Theater/Film/Television. These additional distinctions in graduate enrollments may

eventually render the existing graduate professional category meaningless.

### ***Health Sciences***

Professional programs in Dentistry, Medicine, Nursing, Optometry, Pharmacy, Veterinary Medicine, Public Health, and associated graduate academic programs.

### ***Nonresident***

Undergraduate nonresident applicants have different eligibility requirements (a minimum 3.4 GPA and a different Eligibility Index.)

Most graduate students who are U.S. Citizens or Permanent Residents can establish residency for tuition purposes after one year. Foreign nationals and most undergraduate students cannot.

Nonresident students pay an additional out-of-state tuition fee. Academic graduate students who have advanced to candidacy are not required to pay nonresident tuition. Professional students have higher fees based on their program.

### ***Participation***

High school graduates who actually enroll at UC; a subset of demand. The terms "participation" and "eligibility" are frequently and erroneously used interchangeably.

### ***Participation Rates***

The participation rate measures a number of students enrolled at UC (numerator) as compared to a number of California high school graduates (denominator). There are several ways of measuring participation, which result in different rates. When comparing rates published in different documents or different years, it is important to note the components of the equation in

### **Participation Rates (continued)**

order to make meaningful and accurate comparisons.

Some examples of participation rates:

*“Gross” participation:* Total new freshmen divided by California public high school graduates. This is the method used most often in recent UC planning documents. The calculation is less than ideal because the numerator includes new UC freshmen from private high schools and from out-of-state high schools, while the denominator includes only California public high school graduates. Thus the result overstates the level of participation of public high school graduates.

However, due to limited availability of data about private and out-of-state high school graduates, this method is the only one that can be applied consistently both to analysis of the past and projections of the future. Furthermore, the method is consistent with the methodology used by other major forecasters, including DOF and CPEC.

*“Resident” rate:* New freshmen from any California high school divided by graduates of California public and private high schools. The resulting rate is generally about a point lower than the gross participation rate (depending on the proportion of out-of-state graduates). Rarely used.

*“Public” rate:* New UC freshmen from California public high schools divided by graduates of California public high schools. The lowest of the three rates, and generally about a point lower than the resident participation rate (depending on the proportion of private high school graduates).

Participation can also be calculated as one-year or five-year rates:

*One-year participation rate:* This method counts only new freshmen and therefore is also called the freshman participation rate.

*Five-year participation rate:* Divides the sum of all UC undergraduate enrollments by the sum of five previous years of high school graduates. Although rarely used, this method is useful because it includes the transfer-student population.

### **Professional School Fee**

Some professional schools have differential fee structures. The special fee for selected professional school students currently includes students in Business/Management, Law, Medicine, Pharmacy, Dentistry, Nursing, Veterinary Medicine, Optometry, Public Policy, Public Health, IR/PS (UCSD), and UCLA Theater/Film/Television. As part of the new compact with Governor Schwarzenegger, professional schools will retain the revenue generated by increases in the professional school fees.

### **Referral Pool**

Undergraduate students eligible for UC admission, who are not accepted by any of the campuses to which they initially apply. They are given the opportunity to enroll at a campus that still has openings, but to which they did not apply. This applies only to California resident eligible students.

### **Regularly Admitted Students**

Undergraduates admitted to UC because they meet the eligibility requirements established by the Academic Senate for freshman and transfer admission.

### **Residency for Fee Purposes**

For undergraduates, having a parent who is a resident of the state of California is the primary means to becoming a resident for tuition and fee purposes. The only other way

### **Residency for Fee Purposes** (continued)

is to show financial independence for a year. Most graduate students who are U.S. citizens or permanent residents can establish residency for tuition purposes after one year by showing intent to stay in California and by not leaving the state for any significant length of time during the year. Foreign nationals cannot become residents for tuition purposes.

### **Sixty-forty (60:40)**

The targeted ratio of upper-division students to lower-division students, designed to provide opportunities for eligible students who chose to enroll in community colleges and for originally ineligible students who achieved at identified academic performance levels. This is achieved by admitting transfer students at the upper-division level.

### **SIR – Statement of Intent to Register**

An admitted student's formal notification of intent to enroll at a specific campus. The SIR count provides early information, generally in May, about the size of the incoming freshman class as well as the number of transfers and graduate students. In addition to being useful information for housing directors, registrars, and classroom schedulers, it is important to compare these early numbers with the budgeted enrollments.

### **Student-faculty Ratio: Budgeted and Actual**

The *budgeted student-faculty ratio* provides one component of the quantitative basis for State funding. For budgeting purposes this ratio is currently set at 18.7 students to 1 faculty member. In other words, resources for one entry-level faculty member's salary and benefits and related support are pro-

vided for every additional 18.7 budgeted student FTE.

In the late 1960s, the University's budgeted student-faculty ratio was 14.7:1. When State resources failed to keep pace with the rapidly expanding enrollment, the ratio deteriorated about 20 percent to 17.6:1 in the early 1970s. The State continued to fund at this new level (despite later periods of economic prosperity) until the severe budget cuts of the early 1990s. This change in the ratio from 17.6:1 to 18.7:1 translated to a loss of funding for about 500 FTE faculty. There is a plan to bring the student-faculty ratio back to 17.6:1 over the next few years.

In the health sciences, the student-faculty ratio varies by profession and by category of student. For example, there is one faculty FTE for every 3.5 medical students and one faculty FTE for every 4.0 dental students.

The average general campus student-faculty ratio at the four public universities with which UC compares itself for the purpose of maintaining competitive faculty salaries is about 17:1. It is about 10.4:1 at the four private comparison universities.

The *actual student-faculty ratio* is calculated using actual year-average FTE enrollments and actual year-average I&R teaching faculty. The ratio will exceed the budgeted student-faculty ratio if the campus has over-enrolled and because faculty hiring lags enrollment growth.

### ***Student Level***

**Lower Division:** Undergraduate students who have completed between 0 and 89.9 quarter units (0-59.9 semester units).

**Upper Division:** Undergraduate students who have completed at least 90.0 quarter units (60 semester units).

**Postbaccalaureate:** Students holding a baccalaureate degree whose sole objective is an elementary or secondary teaching or other school credential.

**First Stage:** Graduate students included in the Master's and First Doctoral categories.

**Master's:** Graduate students currently working toward a master's degree, a certification credential, a non-doctoral first professional degree (e.g., J.D., M.P.I.A., M.B.A.), or who have no degree objective.

**First Doctoral:** Graduate students working toward an academic or professional doctorate who have not been advanced to candidacy.

**Second Stage:** Doctoral students who have been advanced to candidacy.

### ***Students Admitted by Exception***

Undergraduates admitted to UC even though they do not meet the eligibility requirements. These are students who may have experienced severe hardship, or come from a non-traditional educational setting, but who show unusual promise and potential to succeed in the UC environment. They are limited at each campus to six percent of new enrolled freshmen and six percent of new enrolled transfers.

### ***Take Rate***

The portion of students admitted to a campus that actually enrolls. Also referred to as the Enrollment Rate or Yield Rate.

## Additional Resources Related to Enrollment

The following is a list of additional resources related to enrollment issues. All are produced by the Office of the President, and have been shared widely with campus administrative offices and the Academic Senate. Copies can probably be acquired from staff in campus offices of Institutional Analysis, Budget and Planning, Student Services, and Academic Administration. Some of these documents are available through the UC Office of the President website ([www.ucop.edu](http://www.ucop.edu)). Copies are also available from the OP offices that produced the documents. Additional reports and analyses are produced at the campus level, frequently providing more detailed information about the campus than are presented in Universitywide publications.

### **Planning Documents**

<http://www.ucop.edu/planning>

Proposed Revisions to University of California Enrollment Projections, October 2002.

Reports on Summer 2002 Instruction, May 2003.

Reports on Summer 2001 Instruction, October 2001 and January 2002.

“The Feasibility of Year-Round Instruction within the University of California,” April 2000.

“Options for Expanding Enrollment Capacity at the University of California,” March 1999.

### **Graduate Education at UC:**

<http://www.ucop.edu/services/gradeduc.html>

- The Importance of Graduate Education to California and the University of California," (Regents' meeting presentation, Jan. 19, 2005)

- Regents Item on Commission on the Growth and Support of Graduate Education, September 2001.

- “Innovation and Prosperity at Risk: Investing in Graduate Education to Sustain California’s Future” (September 2001)

- “Educating the Next Generation of Californians in a Research University Context: University of California Graduate and Undergraduate Enrollment Planning Through 2010” (February 1999)

- “Making Discovery Work: Graduate Education at the University of California” (February 1999)

### **Admissions Guidelines**

[www.ucop.edu/sas/](http://www.ucop.edu/sas/)

Admission and Outreach Reports  
([www.ucop.edu/sas/publish/index.htm](http://www.ucop.edu/sas/publish/index.htm))

The University Admissions Policy  
([www.ucop.edu/sas/admit/admitpol.htm](http://www.ucop.edu/sas/admit/admitpol.htm))

“Guidelines for Implementation of University Policy on Undergraduate Admissions,” July 1996.

([www.ucop.edu/sas/adguides.html](http://www.ucop.edu/sas/adguides.html))

“Policy on Undergraduate Admissions by Exception,” July 1996.

([www.ucop.edu/sas/exguides.html](http://www.ucop.edu/sas/exguides.html))

## **Regents Presentations**

- The Importance of Graduate Education to California and the University of California," Jan. 19, 2005

“Long Range Planning: Maintaining Excellence During a Period of Exceptional Growth,” September 19, 2002, Regents' Item.

“Accommodating Tidal Wave II: Expanded Summer Instruction,” March 16, 2000 Regents' Item

“Accommodating Tidal Wave II: Elements of Current Planning,” January 20, 2000 Regents' Item

“Providing Access to the University of California -- A Progress Report on Long-Range Enrollment Planning,” February 1999 Regents' Item.

In addition, there have been a number of presentations to The Regents on specific aspects of enrollment, such as affirmative action and the admissions process, student fees and affordability. Most of the information about recent reports is contained in the report written by the Eligibility and Admissions Study Group, which examined undergraduate eligibility and admissions policies and implementation issues facing the University.

([http://www.universityofcalifornia.edu/news/compreview/sudygroup\\_final0404.pdf](http://www.universityofcalifornia.edu/news/compreview/sudygroup_final0404.pdf))

## **Annual Reference Documents**

“Budget for Current Operations,” produced annually in October as “The Regents' Budget” by the Office of the President's Budget Office.

<http://budget.ucop.edu/rbudget/200708/200708-budgetforcurrentoperations.pdf> (See also <http://budget.ucop.edu/enroll.html> for year-average enrollment data.)

“Statistical Summary of Students and Staff,” Office of Information Resources and Communications.

(<http://www.ucop.edu/ucophome/uwnews/stat>)

“Information Digest, A Reference Guide for Student Affirmative Action Efforts at the University of California,” Student Academic Services, Academic Affairs.

(<http://www.ucop.edu/sas/infodigest>)

The Office of Student Affairs also produces a wealth of analytical reports related to undergraduate enrollment issues, based on data from universitywide student information systems.

(<http://www.ucop.edu/sas/>)

The 2005 Compact Report.

<http://www.universityofcalifornia.edu/news/budget/compact2005report.pdf>