

# **AN ENROLLMENT ISSUES HANDBOOK**

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<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

# 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 Master Plan 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:*

2000

	Undergraduate	Graduate	Total
Universitywide	141,028	42,327	183,355

Source: Statistical Summary of Students and Staff, fall 2000, <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?”*

2000

Undergraduate	Graduate	Total	Health Sciences	Grand Total
141,028	29,766	170,794	12,561	183,355

Source: Statistical Summary of Students and Staff Table 1a & 1b, fall 2001 <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, post-baccalaureate (teaching credential) students, San Diego Marine Sciences students, and students in self-supporting MBA or other graduate self-supporting programs.

Summer Session and Extension students have not been included in either general campus or health sciences enrollment totals in the past. However, as the State provides funds for summer students this will change in the future. Starting in 1999-2000 summer education credential students are included in the FTE numbers.

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

### 2000-01 Enrollments

	Undergraduate	Graduate	Total	Health Sciences	Grand Total
<b>Fall Headcount</b>	141,028	29,766	170,794	12,561	183,355
<b>Year-average Headcount</b>	137,797	27,219	165,016	12,553	177,569

Fall Headcount includes students in self-supporting programs (1,872 graduate students of which 1,629 are EMBA/FEMBA business students, 77 are UCLA Education doctoral students, 146 are in Public Health or Health Care Management, and 20 are in Computer Engineering). Undergraduate headcount also includes postbaccalaureate teacher credential students.

Year-average headcount does not include these students in self-supporting programs, but does include postbaccalaureate teacher credential students.

Source: Statistical Summary of Students and Staff Table 1b, February 2001, UCOP Budget Office; and Statistical Summary of Students and Staff Total University - <http://www.ucop.edu/ucophome/uwnews/stat>.

**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** (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.

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

### 2000-01 Year-Average Enrollments

	Undergraduate	Graduate	Total	Health Sciences	Grand Total
<b>Headcount*</b>	137,797	27,219	165,016	12,553	177,569
<b>FTE</b>	132,026	26,666	158,692	12,553	171,245

\*Headcount without qualification is usually Year Average Headcount. Source: UCOP Budget Office.

**Headcount:** Each student is counted once, whether carrying a full or partial instructional load. Headcount 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. The number is calculated by applying a **conversion factor** to actual or proposed headcount. FTE students--not headcount--are used as the basis for University budgeting because funding is appropriated for presumed levels of activity, not for individual students. Health science students are counted as full-time students, so therefore have an FTE value of 1.00.

**Conversion factor/ratio:** This is a set of ratios used to convert headcount to FTE and vice versa. It is based on a two-year average of student instructional load. As student average course load goes up, the conversion ratio rises. The ratios are calculated for each campus separately and are calculated annually to establish the relationship between headcount and FTE. Since budgets are based on FTE, not headcount, the implications of changes in these ratios may be significant.

**Formula:** For each **level** of enrolled student (**lower division, upper division, postbaccalaureate, first stage graduate, and second stage graduate**) add the year-average of the total number of units attempted (as of the third week of each quarter’s classes) for the prior two years. Divide by the normative load for that level (e.g., 45 units for undergraduates and 36 for first-stage graduates). Divide by the headcount for the same two years.

*Are the enrollments **actual** or **budgeted**?*

2000-01 Headcount and FTE Enrollments

	Undergraduate	Graduate	Total	Health Sciences	Grand Total
<b>Actual fall</b> Headcount	141,028	29,766	170,794	12,561	183,355
<b>Actual Year-Average</b> HC	137,797	27,219	165,016	12,553	177,569
<b>Actual Year-Average</b> FTE	132,026	26,666	158,692	12,553	171,245
<b>Budgeted Y-A</b> FTE	130,924	27,376	158,300	12,186	170,486

**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. In recent years, actual enrollments have significantly exceeded budgeted enrollments.

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.

Actual year-average enrollments are also available as "estimated actuals," prior to final calculations. Campuses provide these estimates to the Office of the President's Budget Office.

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

Beginning in 2001-02 budgeted enrollments for Berkeley, Los Angeles and Santa Barbara will include summer term enrollments (summer 2001).

*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 year-average FTE.*

## *How do we count **summer term** enrollments?*

Summer session enrollments have not been included in any campus enrollment reporting before 2001-02. However, as campuses move from self-supporting summer programs to State-supported summer programs, summer enrollments will be counted. Reporting conventions and nomenclature are still being developed. As of summer 2001, the following is known:

**Headcount:** 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.

When summer headcount at fully State-supported campuses is included in the year-average calculation of headcount, it will be calculated as follows:

Each quarter (including summer) counts as 1/3 of an academic year-average headcount. E.g., if there are 1,000 students enrolled in each of the fall, winter, spring and summer terms, the year-average headcount is 1,300. [(1,000 + 1,000 + 1,000)/3 for the academic year plus 1,000/3 for the summer term.] Summer at campuses with semesters will count as 1/2 of a year. So at a semester campus with 1,000 students in each of the fall, spring and summer terms, there would be a year-average headcount of 1,500. [(1,000 + 1,000)/2 for the academic year, plus (1,000/2) for summer.]

Campuses will report counts of their own students enrolled in their summer program, as well as students visiting from other UC campuses.

**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 year-average FTE. For graduate students, summer hours are divided by 36 quarter or 24 semester units. Since State funding is provided on the basis of a three-term-student, the same unit is used in the summer.

Example: One student taking a full load (e.g., 15 quarter units) in summer yields .33 FTE. Three students taking a full load in summer yields 1 FTE. Six students taking half a load in summer (the more typical pattern) yield 1 FTE.

When summer FTE at fully State-supported campuses are included in the year-average enrollment, full-year FTE will be calculated as follows: Academic year FTE (i.e., three-quarter/two-semester academic year FTE, truncated at 1.00 as required), plus summer FTE equals full-year FTE.

Beginning 2001-02, budgeted enrollments for Berkeley, Los Angeles and Santa Barbara campuses include summer enrollments (Summer 2001 is counted as the beginning of 2001-02).

If the 2002-03 State Budget Act includes full funding for summer instruction at Davis, Irvine, Riverside, San Diego and Santa Cruz, summer enrollments (starting with summer 2002) at those campuses will be included in their 2002-03 (and subsequent year) budgeted enrollments. If the State does not fund summer instruction at some or all of those campuses, summer 2002 enrollments will continue to fall outside the normal enrollment reporting structure at the unfunded campuses.

**Campus Enrollments**  
**Fall 2000 Actual Headcount <sup>1</sup>**

	Undergraduate <sup>2</sup>	Graduate	Total	Health Sciences	Grand Total
UCB	22,557	8,004	30,561	700	31,261
UCD	20,329	3,758	24,087	1,958	26,045
UCI	16,374	2,728	19,102	1,092	20,194
UCLA	25,003	8,013	33,016	3,749*	36,765
UCR	11,576	1,439	13,015	49	13,064
UCSD	16,560	2,347	18,907	1,269	20,176
UCSF	0	0	0	3,744	3,774
UCSB	17,554	2,408	19,962	0	19,962
UCSC	11,075	1,069	12,144	0	12,144
UCwide	141,028	29,766	170,794	12,561	183,385

Source: Statistical Summary of Students and Staff Tables 1a & 1b, fall 2000

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

**2000-01 Budget Plan**  
**Year-Average Budgeted FTE <sup>3</sup>**

	Undergraduate <sup>2</sup>	Graduate	Total	Health Sciences	Grand Total
UCB	21,500	7,360	28,860	757	29,617
UCD	18,330	3,470	21,800	1,898	23,698
UCI	15,613	2,192	17,805	1,040	18,845
UCLA	22,200	7,027	29,227	3,719*	32,946
UCR	10,179	1,324	11,503	48	11,551
UCSD	16,050	2,450	18,500	1,092	19,592
UCSF	0	0	0	3,632	3,632
UCSB	16,489	2,380	18,869	0	18,869
UCSC	10,563	1,173	11,736	0	11,736
UCwide	130,924	27,376	158,300	12,186	170,486

<sup>1</sup> Fall Headcount includes self-supporting programs (1,872 graduate students of which 1,629 are business students, 77 are UCLA Educational doctoral students, 146 are in Public Health or Health Care Management, and 20 are in Computer Engineering). Undergraduate headcount also includes postbaccalaureate teacher credential students.

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

<sup>3</sup> Includes only State-funded enrollments including summer students in education credential programs.

\* UCLA includes Drew Medical Center

Source: UC Office of the President Budget Office, August 2001.

# The Master Plan

## ***The California Master Plan for Higher Education***

The Master Plan was created in 1960 and subsequently reaffirmed in several legislative and independent reviews with slight revisions. A new review, including K-12, is currently underway. A significant part of the Master Plan has been enacted into law (the Donahoe Higher Education Act). 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
- extends opportunities for educational advancement to motivated students.

### ***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 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 is given responsibility for undergraduate instruction in the liberal arts and sciences in areas requiring more than two years of collegiate education,

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

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

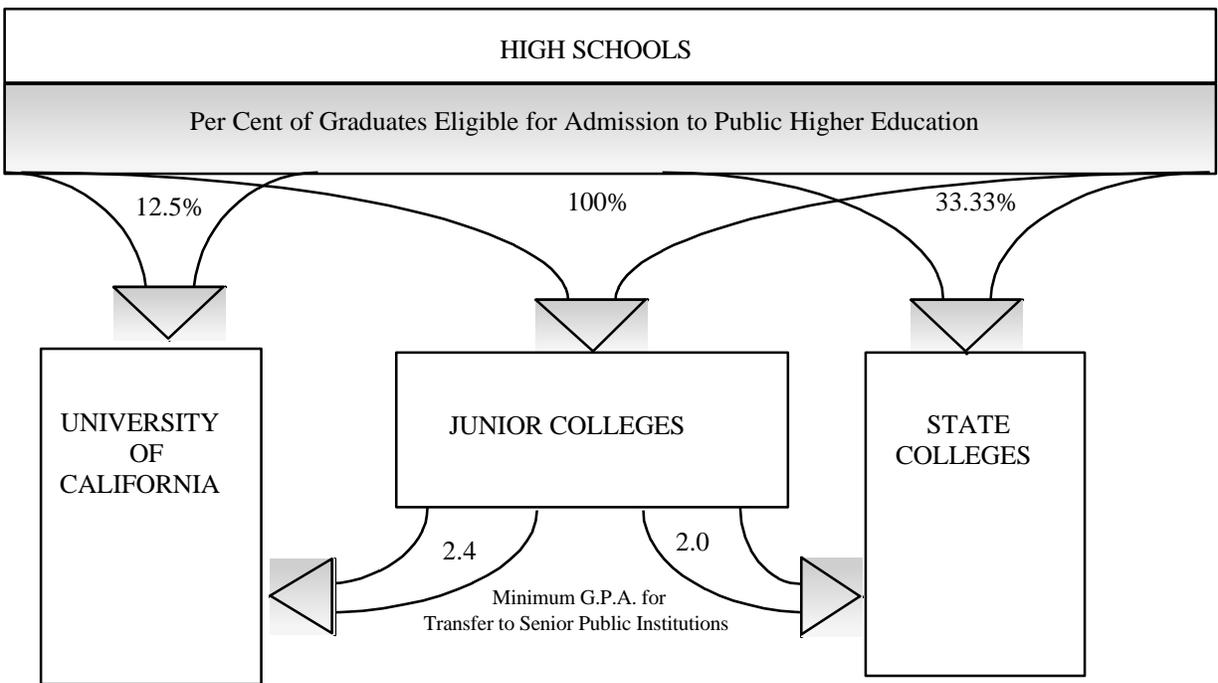
### ***Thresholds of Eligibility for Admission***

- University of California: the top one-eighth 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 admission upon high school graduation may establish eligibility upon the satisfactory completion of specified coursework at a California community college.

To ensure that this opportunity is extended, UC campuses are 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**”.)



Who is Denied Access to Publicly Supported Institutions?

1. As a freshman: no graduate from an accredited high school.
2. To upper division work: (a) students who fail to achieve a "C"  
(b) junior collégé students who fail to achieve the minimum G.P.A. in 56 units of work.

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

### **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-f" courses. In 2003 an additional requirement in Visual and Performing Arts will be included in the UC required subjects for eligibility. The standardized examination requirement includes SAT I (or ACT) and three SAT II subject tests.

A minimum specified total score is required for all students on all required tests (SAT I or ACT and three SAT II tests) according to a new Eligibility Index. 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).

Beginning with undergraduates entering the University in 2001, eligibility criteria include membership in the top 4 percent of one's high school class. Students in the top 4 percent will have to complete a specific number of the a-f courses by the end of the 11<sup>th</sup> grade to be eligible under the new eligibility path.

Starting in 2003-04, students who are between the top 4 and 12.5 percent of their high school graduating class but have not achieved eligibility as a freshman, will be granted UC admission at one of the campuses, provided they successfully complete a transfer program at a California Community College.

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 less) than 12.5 percent meet the eligibility criteria, the University modifies the requirements to yield a population closer to 12.5 percent. The most recent review, published in November 1997, examined 1996 public high school graduates. It was preceded by six 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 equal 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 and student preparation.

**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 pool of 12.5 percent, there is a range of eligibility rates for the different racial and ethnic groups. The last CPEC study (1997) showed the following:

African-American	2.8% eligible
Asian-American	30.0%
Latino	3.8%
White	12.7%
Total	11.1%

**“Select from among.”** The 1960 Master Plan recommended that the University select first-time freshmen *from among* the top 12.5 percent of California public high school graduates. This recommendation established a mechanism to ensure a level of student quality. Subsequent reviews of the Master Plan, and University admissions policy and practice have construed this statement to mean that any eligible student who seeks admission to the UC system will be provided 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.

**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.

# 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 by related presidential guidelines. These guidelines were revised following the July 1995 Regents' resolution on admissions and are effective for students entering the University in spring 1998 and thereafter. These guidelines specify that

- Between 50 and 75 percent of the admitted class be selected on the basis of academic criteria alone.
- The remainder are selected on the basis of academic achievement and promise, as well as potential to contribute to the educational environment and intellectual vitality of the campus. Race, ethnicity, and gender cannot be considered in the admissions process beginning with the classes enrolling in spring 1998.

Based on these broad guidelines, campuses develop detailed selection criteria and processes for freshman and transfer admissions. These criteria may include a combination of grade-point average and test scores, strength of the senior year program, honors or advanced placement courses and coursework beyond the minimum eligibility requirements, and other facts that reflect academic seriousness and ability to benefit from the campus's programs and environment.

These guidelines are currently under review by the Board of Admissions and Relations with Schools (BOARS) and may be modified for applicants seeking admission for fall 2002.

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

Up to six percent of new enrolled undergraduates may be admitted by **exception**. This process, previously called **special action**, allows admission of ineligible students who show unusual promise and potential.

## ***Referral Pool***

Not all students may be admitted to the campuses to which they have applied. Freshman applicants that 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 a campus that still has openings. 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.

UC contracts with a central processing agency (currently the Educational Testing Service) to process all applications and fees, and to forward computer tapes and paper copies 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 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.)

March/April: OP makes the freshman referral pool available to campuses that still have openings.

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.)

## ***How do we measure our admissions activities?***

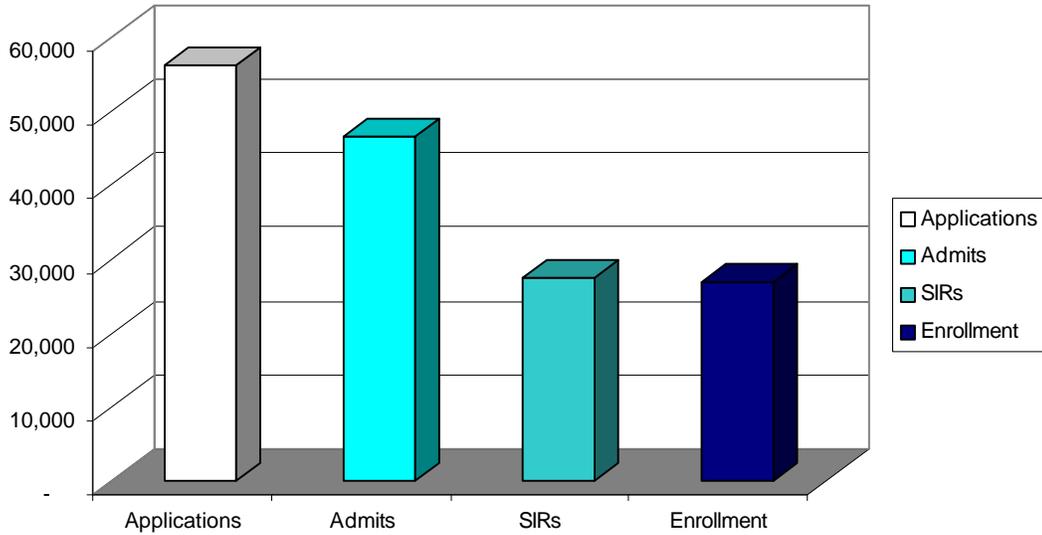
The relationships of applications, admissions, and actual enrollment are indicators of student interest in the University and of the relative appeal of individual campuses. These data are often combined with measures of academic achievement to add dimensions of competitiveness and student quality.

Most 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 actually to enroll. While all eligible students are guaranteed a place somewhere within the UC system, not all eligible students can enroll at their campus of first choice. The following figures show the **admit rate** and the **take rate** at each campus and for the University as a whole for fall 2000.

Depending on the campus, it takes 5.2 to 10.6 applicants, and 2.3 to 5.5 admits to yield one enrolled student. Some campuses also compete with one another for students, so an increased admit rate at one campus may decrease the take rate at another campus.

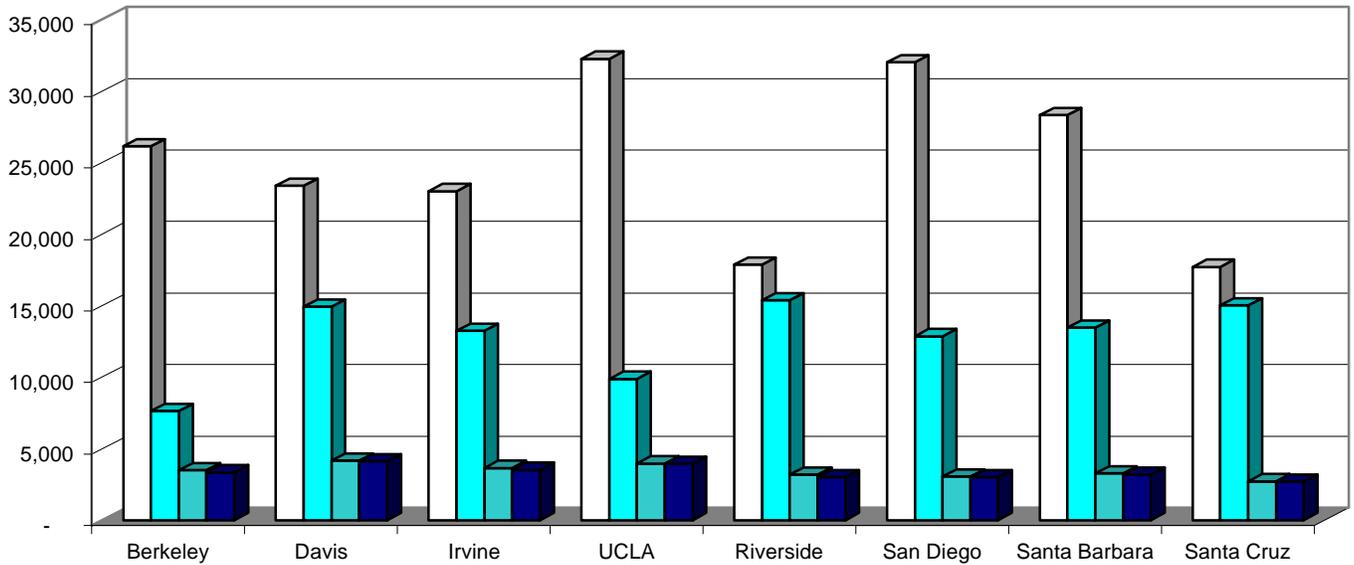
### Undergraduate Applications, Admissions, and Enrollment



### California Resident Freshmen fall 2000

	Universitywide
Admit Rate	82.6%
Take Rate	57.7%

The Universitywide percentages are not averages of campus rates. Rather, they report unduplicated applications and enrollment, so that each applicant is counted only once.



Admit Rate (%)	29	64	58	31	86	40	48	85
Take Rate (%)	44	28	27	40	20	23	24	18

Source: Student Academic Services: Applications, Admissions, and Enrollment of California Resident Freshmen. 1998, 1999, 2000. and Planning and Analysis: University of California Applicant Flow Patterns, Fall 2000.

## ***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 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 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; and **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.

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***

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.)

## ***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 dropped out. (For graduate students, completion rates – analogous to undergraduate graduation rates – may be used to measure the proportion of students who complete the intended degree within any time period that includes virtually all completes – e.g., ten years for doctoral students.) Six-year undergraduate rates are most typically used in comparing colleges and universities nationally.

## ***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, but it can be appropriate for undergraduate progress although it is rarely reported.

## Measures of Progress: Regularly Admitted Freshmen

	<u>Persistence <sup>(1)</sup></u>		<u>% Graduating</u>		<u>Average Registered</u>
	<u>One Year %</u>	<u>Two Year %</u>	<u>in 4</u>	<u>in 6</u>	<u>Time to Degree</u>
			<u>years <sup>(1)</sup></u>	<u>years <sup>(1)</sup></u>	<u>Number of Quarters <sup>(3)</sup></u>
Berkeley	94.2	87.7	46.8	84.6	12.6
Davis	91.2	83.9	30.2	75.2	13.3
Irvine	92.2	82.4	31.8	72.2	12.3
Los Angeles	95.4	89.0	32.6	78.3	13.3
Riverside	89.0	78.4	41.1	68.5	12.7
San Diego	93.6	86.6	40.5	80.1	12.9
Santa Barbara	85.7	73.6	38.9	71.3	12.8
Santa Cruz	87.8	71.7	36.0	63.3	12.3
U-wide	91.5	82.6	37.8	77.2 <sup>(2)</sup>	12.9 <sup>(2)</sup>

1. Source: "University of California – Universitywide Persistence & Graduation Rates Regular Admit – Domestic First-Time Freshmen Entering," September 5, 2000. Persistence data pertain to entering classes of fall 1993, the most recent year available. Percent Graduating in four and six years data are from the fall 1992 entering class.
2. Includes Intercampus Transfers.
3. Source: Corporate Student System Longitudinal Database unpublished data. Pertains to 1993 entering class. (See note below)

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 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 rely 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 underway to develop new analytical models

to improve our understanding of changing collegiate participation rates among high school graduates during the 1980s and 1990s 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.

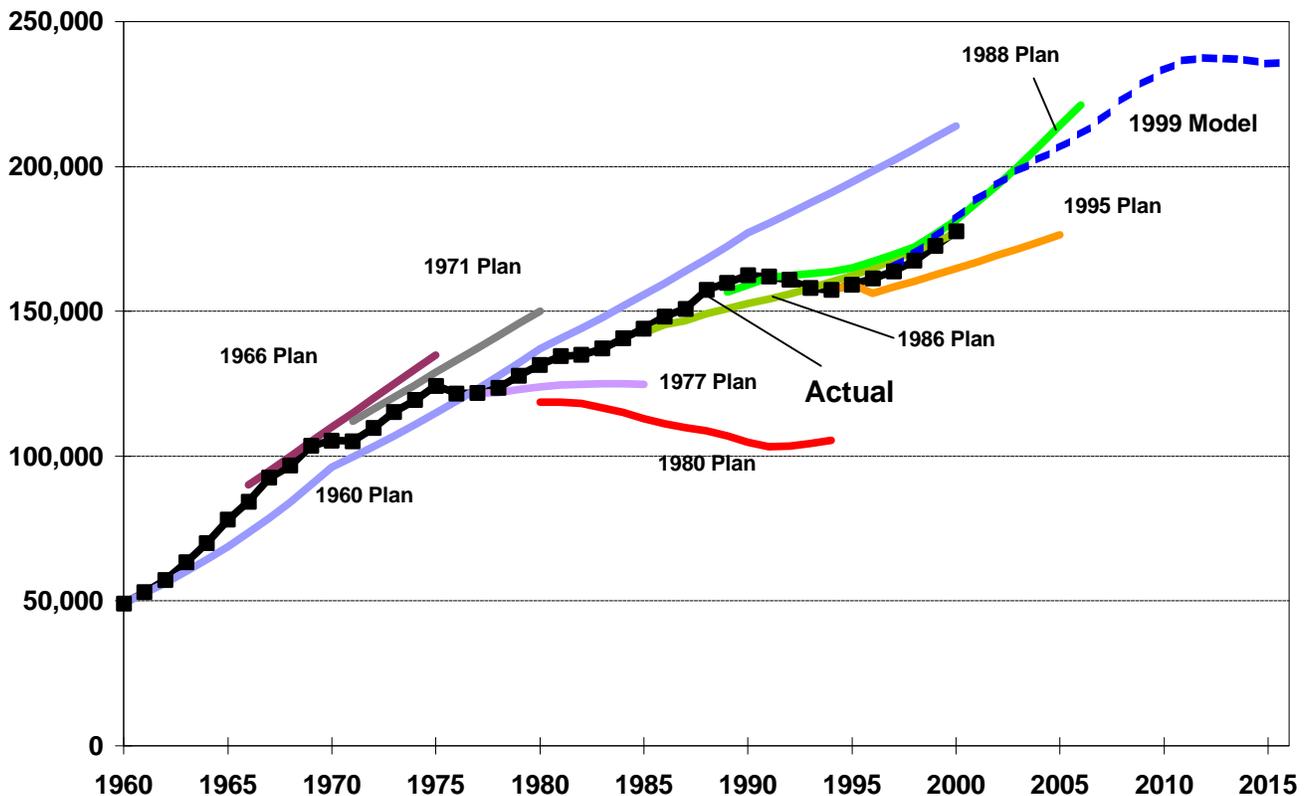
# What is the History of UC's Projections? What are the Current Planning Assumptions?

## 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 1 and 2 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.

## History of UC Enrollment Projections



(Black line with boxes is actual year-average headcount)

Figure 1

## **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 20 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 2 shows how these projections were reduced each year, reaching their low point in DOF’s 1995 projection. A recovering economy resulted in a growing population, as projections in recent years (since 1995) show.

The steep increase in high school graduates, particularly after 2005 has given rise to the term “Tidal Wave II.” DOF’s 1999 projection is the highest since the 1990 projection, peaking in 2008. Any such long-term projections are conjectural; however, they provide an important reference point for University planning.

### DOF 2000 Projection of CA Public HS Graduates Compared to Earlier Projections

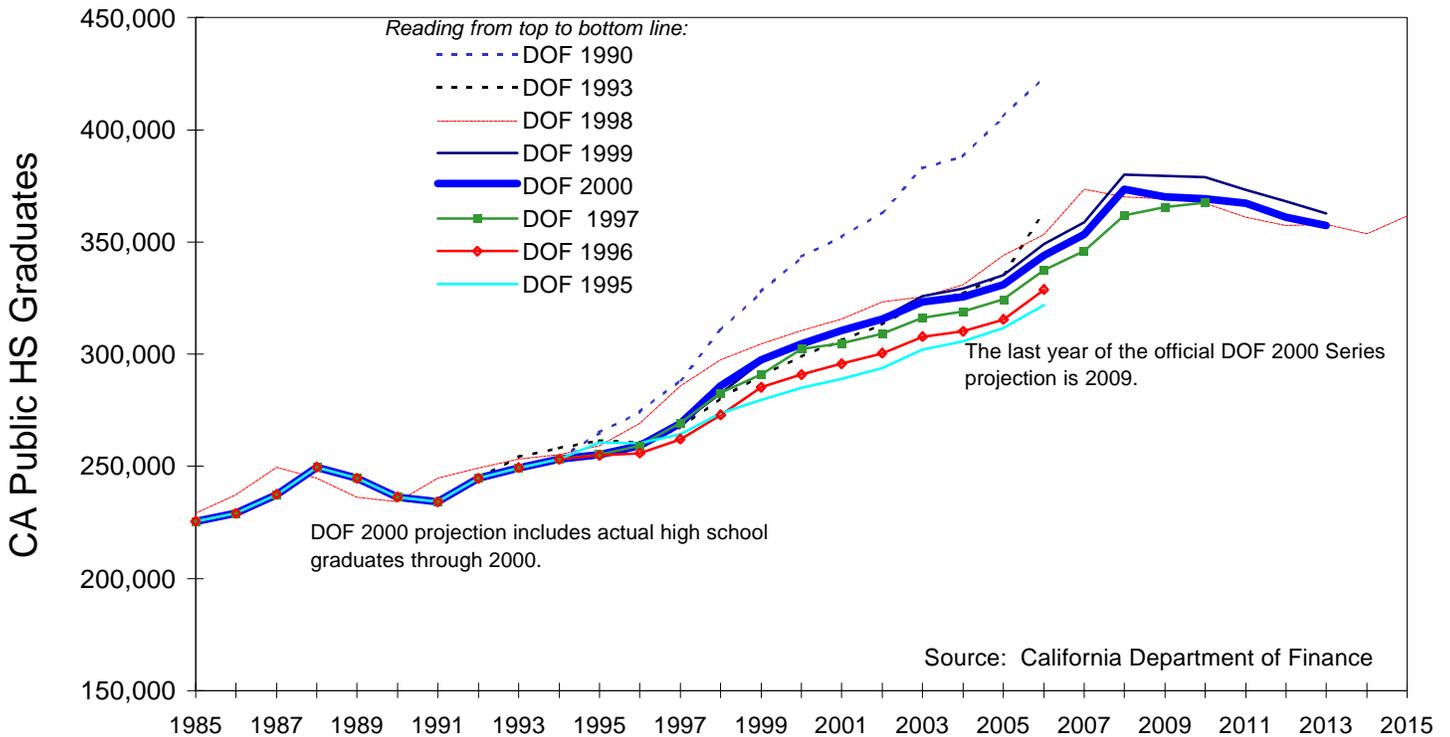


Figure 2

## **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 by 2005-06. 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.

These long-range enrollment planning activities took into account changes in demographic trends as well as the outlook for graduate students, and reflected agreements made in Governor Wilson's four-year compact with higher education.

Pertinent features include

- More conservative undergraduate and graduate enrollment levels compared to the 1988 plan.
- Lower assumptions about new freshman participation rates.
- No change in the proportion of transfer students attending UC thereby retaining the 60:40 undergraduate upper-division-to-lower-division ratio.
- Total graduate FTE student enrollments not to exceed the level established in the four-year compact (i.e., about 19 percent of general campus enrollments).
- Continued discussion of health sciences enrollments in light of the major shifts that are occurring in health-care delivery mechanisms.

## **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 midcourse corrections to enrollment estimates, if necessary. Recent reviews in have noted that

- Undergraduate participation rates have increased annually over the levels on which the 1995 estimates were based.
- The University has signed a Memorandum of Understanding with the California Community Colleges to increase transfer enrollments 40 percent over 1995-96 enrollments, admitting 14,500 students by 2005-06. The UC Partnership calls for 15,300 California Community College transfers by 2005-06.
- There continue to be unanswered questions about the job market prospects for graduate students, and concern about the ability to support these students while they are enrolled although recent job market analysis are more favorable than those in 1995.
- The State's financial health improved markedly through the end of the 1990s, allowing some recovery in the University's operating budget. The UC Partnership Agreement for 1999-00 through 2002-03 calls for annual growth of at least four percent in the University's basic operating budget over the next four years plus funding for enrollment growth at the agreed-upon marginal rate. The funding principles in the Partnership represent the level

## **Annual Monitoring of Enrollment Assumptions** (Continued)

of funding needed to support enrollment growth and maintain quality. The Partnership also recognized that additional funds may be provided for other high priority programs of interest to the State, depending on the availability of funds.

- Projections of severely limited capital funding place the single greatest constraint on higher education's ability to accommodate growing enrollments.

## **New Planning Efforts**

Findings from the annual monitoring of projected high school graduates, freshman participation rates and factors affecting graduate enrollment led to a Universitywide reconsideration of enrollment plans in 1998-99. 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 such substantial growth (63,000 additional students between 1998-99 and 2010-11) has led to Universitywide and campus efforts to find ways of accommodating them. Some of the options under consideration include changing LRDP enrollment targets, increasing enrollments during the summer (assuming the State will provide support), and increasing off-campus enrollments to relieve the pressure on campus facilities.

## **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 the University of California, CSU, and CCC.

CPEC also periodically issues enrollment projections. The latest of these, released in fall 1999, also points to an increased enrollment for UC and the other segments. 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**

Current planning for campus enrollments projects enrollments that could exceed levels planned for in campus LRDPs sometime between 2000-01 and 2010-11, unless these enrollments are accommodated off-campus, during the summer, or under revisions made to LRDPs. Current plans also assume the opening of UC Merced in fall 2004.

### Total UC Past and Projected Enrollment 1960 - 2010

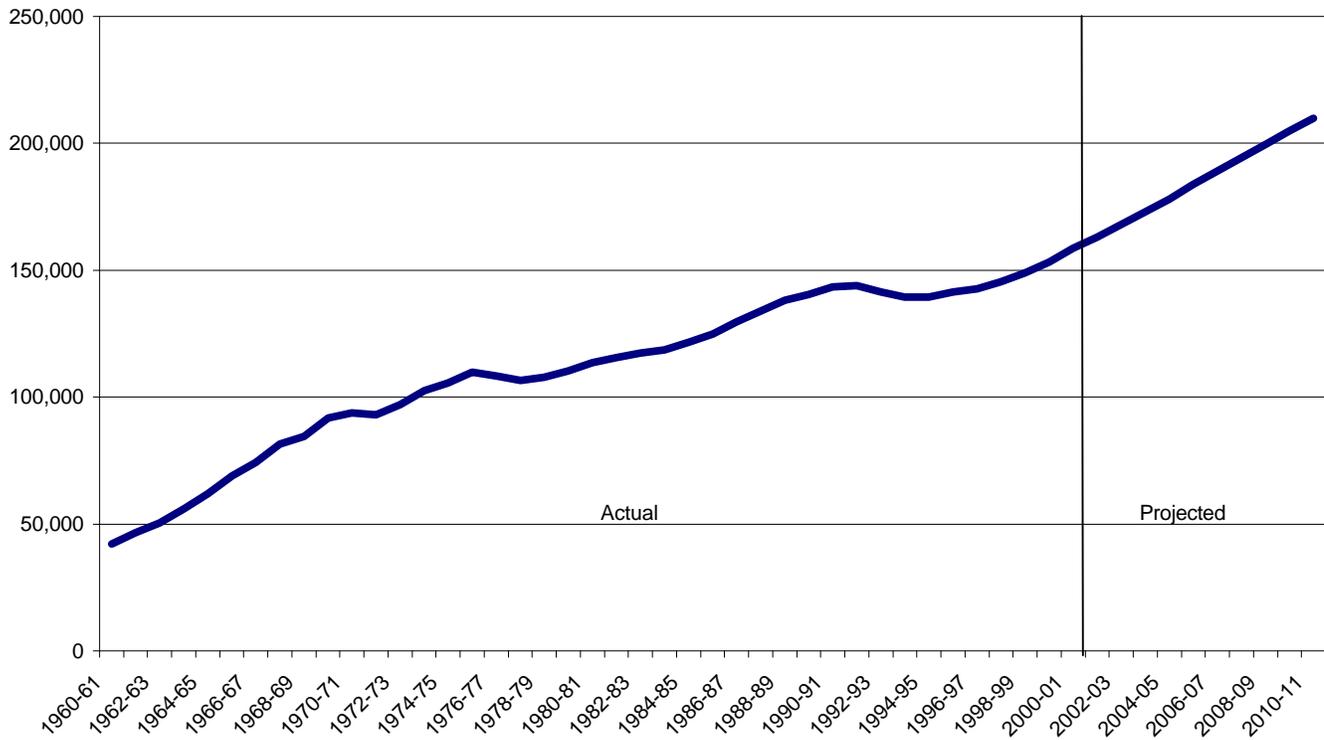


Figure 3

Figure 3 shows the overall FTE enrollment history of the University of California from 1960 to 2000-01 and the projected FTE enrollment from 2001-02 to 2010-11. Enrollments include all students, undergraduate, graduate, and health sciences.

# 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. Until 1991-92, large areas of the budget were formula-driven, including “workload,” which included enrollment growth and maintenance of new space. Enrollment growth was funded according to the agreed-upon **student-faculty ratio**. Thus, growth in enrollments allowed for growth in faculty.

In the early 1990s, the University experienced dramatic shortfalls in State funding, to such a degree that in 1993-94, the University’s State General Fund budget was less than that of 1987-88, despite 25 percent inflation and the enrollment of an additional 6,500 students. Several immediate measures were taken to respond to the crisis, including three early retirement programs, salary freezes and cuts, and increases in student fees. It also meant a hiatus in the traditional budgetary calculations.

In January 1995, Governor Wilson proposed a four-year compact with higher education to provide a stable and predictable level of funding. This compact, which was more than honored by the state and UC in each of four years, provided the University with funding for an average annual increase of 1 percent in budgeted enrollment. (The actual budgeted enrollment growth provided by the State was closer to 7 percent, considerably beyond the compact.) The compact also allowed the University to keep pace with inflation, to cover increases in instructional costs, and began to restore competitive faculty salaries.

In 1996, the University also reached a revised agreement with the State on how much the state will pay for each additional budgeted student (the marginal cost of instruction). The current marginal cost of instruction is based on a student faculty ratio of 18.6:1. There are plans to improve this ratio over the next eight years.

This amount includes funding for student services, instructional equipment, institutional support, library support, instructional support, and for faculty salaries and benefits.

The University came to an agreement with Governor Davis on a new Partnership for 1999-00 through 2002-03. The Partnership Agreement calls for at least four percent growth in the University’s basic operating budget annually over the next four years. Additionally, it calls for an increase of one percent of the UC’s State General Fund base to phase in funding to help eliminate shortfalls in maintenance, instructional equipment, instructional technology, and libraries between 1999-00 and 2002-03, and funding for enrollment growth of about three percent annually at the agreed-upon marginal cost rate. Additional funding for deferred maintenance, special initiatives, new campuses or off-campus centers, and the cost of legislation approved by the State may be requested in addition to funding provided as part of the Partnership, depending on the availability of state resources.

## **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. This “budget allocation initiative” includes the following specific campus allocations that are related to enrollments:

- An allocation for agreed-upon budgeted enrollment growth. General campuses receive a set amount of money (\$8,529 in 2000-01 and \$9,158 in 2001-02) for each additional FTE student based on an agreed-upon enrollment plan, with no weighting for graduate enrollments. This single allocation is for all areas related to enrollment growth: i.e., student services, instructional equipment, institutional support, library support, instructional support, and faculty salaries and benefits.
- Additional student fee income from increases in the Educational Fee and from new students (less the amount required for financial aid). At least one half of the increase in student fee income from each additional FTE student will be allocated to the campuses to help fund their budgets.

## **Campus Enrollment Plans**

Implementation of the budget initiative requires the development of an agreed-upon graduate and undergraduate enrollment plan for each campus. In consultation with the campuses, the University will monitor campus enrollment plans on a regular basis and adjust them as appropriate. Many factors – demand and availability of resources among the most significant – will 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 overenrolled by more than one percent, in which case funds will be provided on an as-available basis. However, the campus does generally keep the increased fee revenue associated with these students, except the portion (1/3) that is designated for financial aid, which is distributed back to the financial aid recipients.

## **Programs with Differential Fees**

In January of 1994, The Regents adopted a policy to phase in differential fees for selected professional schools. The Regents approved specific fee increases in 1995 and 1996. Schools currently operating under these policies and approvals include Business/Management, Law, Medicine, Pharmacy, Dentistry, Nursing, Veterinary Medicine, Optometry, and Theater/Film/Television. However, since 1994-98 these fees have been frozen due to the State’s continuing interest in keeping fees low.

## **Accountability**

Implementation of the budget initiative provides 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 will be held accountable to contribute to the University's overall success in meeting the following commitments as outlined in the Partnership:

- Continue to admit 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 one, with the increase in faculty devoted to strengthening the quality of undergraduate education.
- Continue commitment to maintain improved student outcomes with respect to graduation and retention rates.
- Develop, implement, and evaluate the "4 percent path" to eligibility.
- Continue commitment to maintain competitive faculty salaries, with an emphasis on merit-based salary programs.
- To the extent that the community colleges increase the number of "transfer ready" students, increase the number of California Community College students who transfer to UC.
- Assume greater responsibility in working with K-12 schools to help improve K-12 student performance; expand outreach programs to improve the academic preparedness of K-12 students, especially students from disadvantaged backgrounds; and increase opportunities for K-12 teachers to participate in professional development programs by expanding existing programs such as the California Subject Matter Projects and the California Reading Professional Development Institute, and developing new institutes in mathematics, algebra, and English.
- Commit to playing a greater role in the preparation of K-12 teachers by more than doubling the number of students enrolled in teacher credential programs in 1998-99 from 1,000 to 2,500 students by 2002-03.
- Develop and implement Teacher Scholars Program to provide 400 students the opportunity to earn a combined master's and teacher credential in 15 months.
- Expand the number of joint doctoral degree programs offered in collaboration with CSU.
- Improve productivity and utilization of existing facilities and evaluate the need for new classrooms and class labs on the planning assumption that summer FTE enrollments will be 40 percent of a regular term.
- Reach agreement with the Administration and the Legislature on a plan for phasing in implementation of a State-supported term.
- Help maintain California's competitiveness through continued investment in research, including development of three California Institutes for Science and Innovation.

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

- Place a priority on producing graduates who will meet California's workforce needs, including an increase between 1998-99 and 2005-06 of at least 50 percent in the number of engineers and computer scientists trained at UC.
- Increase opportunities for students to participate in community service activities.

### ***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 of 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. (Data must be “unduplicated” for universitywide calculations because students may be admitted to more than one 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 since the number of new students changed relatively little during that time.

### ***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 SAT or ACT). Beginning with students entering the University in 2001, eligibility criteria include membership in the top 4 percent of one’s graduating class. Students in the top 4 percent also have to have completed a specific number of the a-f 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 doctoral students in all other general campus programs (e.g., Education, Engineering, Business).

Graduate academics in the health sciences are generally reported separately from general campus graduate academics.

## **Graduate Professional**

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

This category is further broken down into programs in professional schools with differential fee structures (e.g., Business/Management, Law, Medicine, Pharmacy, Dentistry, Nursing, Veterinary Medicine, Optometry, and Theater/Film/Television). These new 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.

## **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 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).

*“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. This method is useful because it includes the transfer-student population.

### **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.

### **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. Provides early information, generally in May, about the size of the incoming freshman class. 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 18.6 students to 1 faculty member. In other words, resources for one entry-level faculty member’s salary and benefits and related support are provided for every additional 18.6 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 an 8-year plan to bring the student-faculty ratio back to 17.6:1 by 2007-08.

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 (e.g., M.D., D.D.S.) who have not been advanced to candidacy.

**Second Stage:** Graduate students in the Second Doctoral category.

**Second Doctoral:** Graduate students working toward an academic or professional doctorate 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. (Formerly referred to as "special action students.") They are limited for each campus to 6 percent of new enrolled freshmen and 6 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

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 (<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>

“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.

“Educating the Next Generation of Californians in a Research University Context: University of California Graduate and Undergraduate Enrollment Planning through 2010,” February 1999.

- Appendix 1, "Making Discovery Work"
- Appendix 2, "Workforce Projections and Job Market Trends for Graduate and Professional Degree Recipients"
- Appendix 3, "Undergraduate Enrollment Demand Projection Methods."

“Budget Handbook 1998 – An Overview of Funds that Support University Activities: Their Acquisition, Allocation and Use,” November 1998.

### **Admissions Guidelines**

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

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

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

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

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

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

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

### **Regents Presentations**

“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.

## **Annual Reference Documents**

“Budget for Current Operations,” produced annually in October as “The Regents’ Budget” by the Office of the President’s Budget Office. (See also <http://budget.ucop.edu/Enroll/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 Academic Services 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/>)

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