



UNIVERSITY OF CALIFORNIA
SANTA CRUZ

Two-Year Goals Statement

October 2011

UC Santa Cruz has earned national and international recognition for world-class research and teaching. In its 46 years, the campus has established a distinctive strength within the University of California as a place where the research environment is not only integral to its educational programs but directly enriches the student experience. In the coming years, the campus will focus its efforts to build upon these strengths and continue its upward trajectory in teaching, research, and public service.

The campus's *Strategic Academic Plan* articulates how Santa Cruz will carry out the fundamental UC teaching, research, and service mission in ways that reflect our distinct qualities. It sets forth a long-term vision, a set of principles, and specific strategies to promote academic excellence in a diverse community of scholars and learners. These principles will also guide us as we consider our opportunities and re-envision our future in the context of California's budget realities.¹

Even in tough economic times, the campus has made remarkable progress in sustaining UC Santa Cruz's ascent as a vibrant public research university whose faculty transform disciplines through research and scholarly/creative activity and transform students' intellectual lives by inspiring them to master the knowledge and skills they need to change the course of the future.

Reduced budgets have delayed the timetable for implementing the longer term aspirations embodied in the *Strategic Academic Plan* because budget reductions limit our ability to allocate faculty FTE and to fund academic programs. However, reduced budgets—including the prospect of a sustained downturn in the State's economic health—have neither stopped the process of building for the future nor altered the campus mission. Nor can they be permitted to do so. The campus will continue to be

¹ For additional detail about the campus's long-range goals and aspirations, near-term campus planning foci, and planning/consultation processes, please see the campus's September 2010 Statement (<http://planning.ucsc.edu/acadplan/docs/2yrGoals.Sep10.pdf>).

proactive in addressing the near-term budget challenges and in acting to move our academic programs forward in the coming years.

UC Santa Cruz has made the necessary painful choices to address its immediate financial challenge—that of implementing its assigned share of the 2008-09 through 2011-12 budget cuts in a timely manner. This difficult course of action not only involved realignment and streamlining of support services, but also required lay-offs, program eliminations, and curtailment of campus services. Program reductions were not uniform across function; instead, our choices were guided by a set of principles that emphasized our responsibility both to provide a quality curriculum that enables students achieve their educational objectives in a timely manner and to support our core research mission.

It will take several years for the campus to fully adapt to changes made over the past four years. But the campus must also address a long-term and structural challenge, “how do we on a smaller State budget create a sustainable campus that is positioned to move forward aggressively as the economy improves?” Accordingly, a leadership emphasis these next two years will be to continue this latter process of adapting and optimizing the changes made in recent years.

Our challenge is to resolutely address the issues in the present, while planning for the opportunities of the future. We will need to be realistic and act creatively to ensure that programs are viable and sustainable at each stage of their development yet also well-positioned to move forward as opportunities present themselves.

The campus's foundational strategy is to identify, attract, and retain excellent faculty who bring their creativity and intellect to our community. We recognize that faculty representing a diversity of backgrounds and perspectives are the core of a great university. We must provide them with facilities to enable their research to flourish and connect them with colleagues with whom they can expand the significance of their work. Santa Cruz will continue to hire faculty with extraordinary research strength in their disciplines and the ability to teach over a broad range of topics related to their disciplines. This commitment to teaching breadth and research focus inspires outstanding students and contributes to collaborative exploration in the core disciplines and at the intersections where disciplines meet.

The five priorities in this two-year statement are aligned with the vision elements of the *Strategic Academic Plan* and highlight what the campus intends to do now—near-term investments and actions to continue the momentum of campus academic programs and build upon our success. They are

1. Provide maximum academic value for undergraduate students.
2. Increase the range, number, and quality of graduate programs, while engaging the full range of faculty in graduate education.
3. Define our capabilities as a regional presence, including our partnerships in Silicon Valley and in the Monterey region.
4. Continue to re-examine and optimize the campus administrative organization to best meet student and faculty needs.
5. Complete preparations for UC Santa Cruz's first comprehensive fund-raising campaign.

The thoughtful and deliberate actions taken in furtherance of these priorities are informed by a number of cross-cutting themes central to the campus's core values. These include the centrality of research and the value of a research-active faculty; the essential importance of graduate education to our identity as a public research institution; social and environmental responsibility, as the faculty and students carry on a tradition of innovation in pursuit of solutions to society's critical challenges; and diversity, as we create a community of learners in which individuals are valued.

Statement of Near-Term (Two-Year) Priorities

The campus's near-term priorities compete against a backdrop of shortfalls that stem from a period of significant growth in enrollments and requirements for new services during a difficult fiscal environment. Even if State resources were not declining, the cost pressures impacting campus budgets would still be problematic as mandatory costs and transaction levels continue to escalate, as the regulatory environment becomes more complex, and as the need for maintenance and infrastructure investment continues to grow. Further, the campus's success at increasing research activity has brought new infrastructure and support demands. At the same time, the tuition increases have impacted the finances of students and their families.

1. Undergraduate education. Provide maximum academic value for undergraduate students.

Four years of budget cuts have taken a toll across the campus. Nonetheless, UC Santa Cruz will maintain its unique commitment to undergraduate education—a tradition of innovation for which the campus is widely known.

To partially mitigate the impact of these budget cuts on the undergraduate curriculum, the Campus Provost and EVC has provided multi-year “bridge funding” to deans to help them ensure that students have access to the courses necessary for progress toward their degrees, even as academic divisions adjust to lower levels of ongoing State funding.

Faculty in each of our academic programs continue efforts to clearly articulate educational objectives and learning outcomes goals for the undergraduate curriculum and to provide opportunities for undergraduates to engage with faculty early in their careers. Faculty have revised their courses to reflect the new educational objectives for campus general education requirements adopted by the Academic Senate (<http://senate.ucsc.edu/cep/CEPGESCP1597.pdf>); and have modified first-year college courses in response to the new requirements.

These efforts to ensure that undergraduate students receive maximum value from their educational investment will continue even in the context of fewer State resources. Over the next two years,

- Faculty and the Senate are considering improvements to curricular efficiency to better facilitate four-year completion rates; and
- The Vice Provost and Dean of Undergraduate Education will consider changes to student support services designed to improve overall retention and graduation rates.

The more detailed context for this undergraduate education goal is a set of five key student-focused campus initiatives, “Five for 2015”—so named in recognition of the upcoming 50th anniversary of this campus. These goals are:

- *Four years or less*: Examine and streamline major requirements to ensure that students can have a challenging and rewarding educational experience and can earn a degree — of which they and we will be proud — in four years or less. A key element of the campus’s strategy is greater integration with Summer Session.

- *Increased retention*: Improve UCSC's current student retention rate. Moving our overall rate will be a lengthy process, but we can aim in the short term to improve our first-year retention rates by 2 percent and to drop our upper-division attrition to below 10 percent.
- *Increase nonresident student enrollment*: A modest increase in the number of nonresident domestic and international students to 5 percent of total undergraduate enrollment, from current levels of about 3.5 percent, would diversify our student body and provide the campus with additional resources.
- *Hispanic-Serving Institution (HSI) status*: We already have a strong record of educating Latino/Latina students.² HSI status would increase our visibility as a pipeline to college — and beyond — for all students from underrepresented groups.
- *Financial stability*: Prepare a three-year budget to enable academic divisions to map the curriculum and plan course availability with far greater certainty.³

In addition, over the next two years, the campus will re-examine and optimize campus operations in support of these priorities (see Priority 4, “Campus operations”).

2. Graduate education. Increase the range, number, and quality of graduate programs, while engaging the full range of faculty in graduate education.

Given fiscal realities, the campus will be unable to undertake program development evenly across the areas highlighted in the *Strategic Academic Plan*. The first priority is to strengthen existing core disciplines and interdisciplinary programs, then to support new interdisciplinary program efforts. Through these priorities, the campus will expand its leadership and drive innovation at the frontiers of knowledge.

Efforts by faculty and deans both to strengthen and maintain excellent and emerging core academic programs and to develop new academic and professional programs in targeted areas has been particularly difficult in the context

² For example, 29% of fall 2011 entering frosh and 25% of entering transfers are Latino/Latina students. Currently, Hispanic students represent over 19% of our total undergraduate population. Achieving HSI status will require that 25% of our undergraduate FTE are Latino/Latina.

³ Campus progress toward this goal is closely linked to UCOP's efforts to provide multi-year (operating and capital) budget stability for UC, including support for long-range enrollment planning.

of limited (new and replacement) faculty hires. As part of its process of adapting to the restructuring of the past four years, the campus must identify resources to reestablish funding for needed faculty positions.

Nonetheless, the campus enrolled its first students in the campus's innovative new Ph.D. programs in *Film and Digital Media* and in *Visual Studies* this past year, and plans to launch its M.S. degree in *Technology and Information Management (TIM)*—an example of 21st century management programs to be located in Silicon Valley.⁴

Over the next two years, the campus will continue to enroll more graduate students (both as proportion of overall campus enrollment and in terms of annual degrees awarded) and prepare them to address the needs of California, the nation, and the world. We will ensure both their individual success and their contribution to the campus mission by

- Improving graduate student financial support and support services;
- Providing research opportunities that promote progress toward degree; and
- Providing additional opportunities for graduate students to mentor, engage in joint research with, teach, and participate in the educational experience of undergraduates.

This is an effort requiring partnership and collaboration across the campus and progress toward this priority will be coordinated by the Vice Provost and Dean of Graduate Studies—who will also take the lead in tracking our progress against articulated milestones.

3. Regional presence. Define our capabilities as a regional presence, including our partnerships in Silicon Valley and in the Monterey region.

Despite significant financial constraints over the past few years, the campus has built regional alliances that span the main and marine sciences campuses in Santa Cruz, the Silicon Valley campus in Mountain View, Lick observatory at Mount Hamilton, the MBEST center in Monterey, and other research locations throughout the Monterey

⁴ Academic program development also continued at the undergraduate level with a new *Robotics Engineering* B.S. and a new *Network and Digital Technology* B.A. approved during 2010-11. We also expect that the campus-approved *Latin American & Latino Studies* Ph.D. and *Theater Arts* M.A. programs will move forward at the UC-wide level during 2011-12.

Bay Crescent. These alliances support the campus's world-class research portfolio and the educational aspirations of area students.

Over the next two years, the campus will further refine our near- and long-term strategies for sustaining and enhancing our regional presence and partnerships—defining the types of partnerships we will pursue and the framework that will guide which partners we engage in order to maximize the opportunities for our faculty and students and to ensure close integration with our academic plans. In particular, our educational and research initiatives in Silicon Valley (e.g., UNEX, TIM, UARC, NASA UDA) will continue—by completing focused plans emphasizing closer articulation/integration with campus academic programs and with research opportunities UC-wide.

In Silicon Valley, the campus has made significant progress toward the renewal of a re-focused NASA University-Affiliated Research Center (UARC) contract and has created an office of UC/NASA Partnerships to cultivate new partnerships across UC under an innovative approach to contract bid and capture.

An example of UCSC's involvement in an educational alliance is the “Santa Cruz County College Commitment” (or “S4C”)—a collaboration of every K-12 school district in the county, Cabrillo community college, Cal State Monterey Bay (CSUMB), and UC Santa Cruz—to increase the number of students who go on to earn a college degree. As part of this initiative, all fourth-graders will visit Cabrillo College, all fifth graders will visit CSUMB, and all sixth-graders will visit UCSC. In addition, high schools will administer assessment tests earlier so that subject matter gaps can be addressed before the student is a high school senior.

4. Campus operations. Continue to re-examine and optimize the campus administrative organization to best meet student and faculty needs.

Staff members play an integral role in advancing the academic mission UC Santa Cruz. We seek to create an effective, innovative, and transparent support organization in which employees can contribute their skills and energies toward moving the campus forward.

The campus has embraced this philosophy in tangible ways, for example, by undertaking business and information technology transformation efforts in 2005 that resulted in cost-reducing, efficiency-enhancing consolidations of many key business and technology functions. These efforts provided the campus with some of the tools

to implement difficult program and service changes necessitated by major budget reductions over the past four years.

Looking forward, the campus will continue to adopt new ways of conducting the University's business and streamlining the delivery of services in an era of diminished resources. During 2011-12, the campus will be participating as early adopters of a number of UC-wide "working smarter" and inter-campus initiatives, including the PPS redesign and *AP Recruit*. As with our previous efforts, we recognize up front that the way we optimize campus operations to take advantage of these systems will need to evolve over time.

In comparison to its peers, the campus is significantly under-resourced, and although changes in organization and services were intentionally planned to have the potential to improve efficiency and promote cost-effectiveness, the campus will need to carefully monitor the resulting impacts on students, faculty, and staff. With information gained by tracking strategic indicators and assessing outcomes, we expect to continue to make refinements that ensure a consistent focus on our core mission.

This summer the campus implemented a major restructuring of its student affairs organization in ways that will benefit both students and staff. This included a realignment of enrollment management functions (admissions/orientation, the registrar, and financial aid) recommended by the Academic Senate and the elimination of a vice-chancellor-level position. Each of the newly constituted student affairs functions is led by individuals who are strong advocates for students.

These changes represent a significant departure from past practices. To ensure that student needs are more fully integrated throughout campus services, careful attention will be required over the next two years.

These restructuring efforts also help enable us to prepare multi-year budgets with a reasonable expectation that they will be within five percent of actual budgets. This will benefit faculty and students by allowing deans to map the curriculum and plan course availability with far greater accuracy; it will benefit principal officers by providing a framework in which to design services that can position the campus for its future.

5. Philanthropy. Complete preparations for UC Santa Cruz's first comprehensive fund-raising campaign.

Over the past year, the campus completed the organizational phase of the comprehensive campaign—including measurable progress to improve fund-raising and University Advancement staff training and competencies, and the establishment (and regular measurement) of monthly and annual performance indicators and outcome metrics.

With the completion of the organizational phase and a transition into the nucleus gift phase, the campus will focus on finalizing the details needed to launch the public phase of the campaign. Currently in process are activities to

- Detail campus initiatives and priorities and set specific fund-raising goals, targets, and milestones for each; and
- Undertake key leadership gift solicitations.

From these efforts, five key initiatives and six priorities have emerged:

Campus Initiatives

- Personalized Human Health
- Silicon Valley Campus
- University Museum of the Arts and Sciences
- Extraordinary Student Experience

Campus Priorities

- Attracting World's Best Undergraduate & Graduate Students
- Recruiting & Retaining Leading Scholars
- Coastal Sustainability
- Reconsidering Economic Systems
- Critical Race and Ethnic Studies
- Understanding our Universe

Over the next two years, the campus will take additional steps to sustain and permanently enhance the University's ability to raise private support by

- Developing volunteer and philanthropic leaders who will drive an ongoing commitment to private support;
- Increasing engagement of multiple audiences (parents, alumni, friends, community leaders, private grant-making agencies) as donors, volunteers, and participants in the life of UCSC; and
- Increasing understanding and awareness of the role UCSC plays and the productive impact it has in the region, nation and world.

Progress in Achieving Priority Aims Reported in the Previous Year

Variations of four of the five two-year priorities for 2010-12 priorities appear in this year's Statement. Accordingly, progress in achieving those continuing priorities is outlined above. Last year, the campus also indicated its aim to "identify success factors for and barriers to substantially growing research over the next five years."

The campus completed key elements of that priority as follows:

- To address bottlenecks and to streamline processes associated with contracts and grants submittals, a new Special Agreements Officer (in the Office of Sponsored Projects) has been hired;
- Initial participation in one of the UC "working smarter" initiatives, the *Kuali-Coeus Research Administration* project represents the first step in optimizing the campus's research administration processes;
- Investment in a number of capital projects (e.g., campus infrastructure improvements—including work on the initial phases of a *Telecommunications Master Plan*, projects addressing power reliability, CIRM stem cell lab renovations/equipment, and Coastal Biology) address top issues/barriers; and
- New investments in research support (e.g., *Arts Research Institute*, *Engineering Research Center*, *Institute for Scientist and Engineer Educators*, *Cal-ISI*, *UCSD Supercomputer Data Center*) have addressed identified priorities.

The campus set an all-time record, almost \$150 million, for sponsored research awards during 2009-10. As the Federal stimulus program (ARRA) winds down, it will have an impact on campus awards—as is the case for all research universities nationwide. If stimulus funds are excluded for both 2009-10 and 2010-11, however, campus awards continue to increase year-by-year. With the improvements above, the campus anticipates continuing that progress.

New Programs and Schools

Campus plans for new programs and schools over the next five years are found in the *2011-16 Five Year Perspectives* (<http://planning.ucsc.edu/acadplan/perspectives.asp>), last updated in spring 2011. In the near-term, however, the pace of many of these proposals will likely slow because of constrained faculty hiring.

Contributions to and Role of Systemwide Initiatives

UC Santa Cruz envisions its future as embracing excellence in established disciplines and forging new lines of collaboration between disciplines in order to foster creativity and respond to emerging needs of society. Similarly, multi-disciplinary and cross-campus efforts help create a University of California that is greater than the sum of its individual campuses.

UC Santa Cruz role/contribution to systemwide initiatives include

- UC Observatories (UCO) multi-campus research unit (MRU) has its headquarters at UC Santa Cruz and the campus manages the operation of UCO/Lick Observatory on behalf of the UC system. UC Santa Cruz faculty also participate in other MRUs.
- UC Santa Cruz established and is leading a *University Affiliated Research Center* (UARC, <http://uarc.ucsc.edu>) at NASA Ames and, as the campus works to extend the contract beyond 2013, is working to develop new research partnerships among UC researchers (from all campuses) and NASA scientists.
- UCSC participates fully in UC-wide programs such as *California Teach*—UC's program for undergraduate science, math, and engineering majors on all UC campuses whose goal is to dramatically increase the number of science, mathematics and engineering majors who pursue careers in secondary science and mathematics teaching.
- UC Santa Cruz people serve on a variety of task forces and working groups—including lending campus experience and expertise as an early adopter of UC-wide “working smarter” initiatives.
- The campus continues to provide leadership in multiple educational outreach programs focused on improving secondary education and access to UC.

UC Santa Cruz has specifically designed many of its programs and services to take advantage of and be synergetic with UC-wide efforts including

- UC Santa Cruz is a partner in two of the four *California Institutes of Sciences and Innovation* (QB3 & CITRIS) and encourages (and provides assistance and technical support for) individual faculty to partner with colleagues at other UC campuses on research projects.

- The *California Digital Library* plays a pivotal role in providing library resources to Santa Cruz students, faculty, and staff—the campus contributes to and benefits from UC-wide licensing agreements.
- UC intercampus network initiatives—including CENIC—have similarly been crucial to enabling UC Santa Cruz's role as a distinctive public research university.

The most critical ways in which the Office of the President can assist UC Santa Cruz in meeting its near-term priorities and achieving its vision include

- *Advocacy.* Work with State leaders (and make the case to the citizens of California) and with the leadership nationally to provide multi-year (operating and capital) budget stability for UC, including support for long-range enrollment planning. Additional predictability at the UC-wide level enables campuses to act strategically in ways that will position themselves for the future and that meet the needs of their students and faculty.
- *Resource allocation.* Complete the review and revision of current system-wide funding formulas (including the rebenching effort) in an open and transparent way so as to (i) provide the opportunity for every campus to develop and maintain its status as a top-tier research university and (ii) enable the California public, the Legislature, the media, and the University as a whole to fully understand the critical choices faced by all campuses.
- *Common systems and processes.* Continued leadership in the deployment of UC-wide services—services that truly leverage the “power of ten” in ways that enable campuses to focus on the excellence of their academic programs. UCOP efforts to streamline and avoid duplication in UC-wide processes are also important—e.g., streamlining the research enterprise by minimizing UCOP compliance processes that duplicate those already in place on individual campuses.
- *Statewide issues that affect campus costs.* Work with State to reduce reporting requirements and to provide support for communities that host UC campuses (so costs of mitigation measures do not have to come from strapped campus operations budgets).