

# University of California, Santa Cruz Two-Year Goals Statement, 2013-15

## SECTION 1: SUMMARY OF CAMPUS LONG-RANGE GOALS

UC Santa Cruz aims to be more fully recognized nationally for its leadership in education and research. Research impact, measured by different external rankings focused on citation impact, consistently place UC Santa Cruz as a highly ranked institution. We have grown graduate enrollments, in both existing and new programs, as the undergraduate population increased. Our ten residential colleges provide vibrant living and learning communities for undergraduates. We will benefit from communicating our accomplishments and innovations in research and education more visibly. Our impact derives from our core values, which include:

- the centrality of research and a research-active faculty,
- the importance of graduate education and its links to undergraduate education,
- a commitment to providing a transformative undergraduate educational experience,
- a culture of social and environmental responsibility, including a focus on sustainability,
- a tradition of innovation in pursuit of solutions to society's critical challenges, and
- an emphasis on diversity, equity, and inclusion, aligned with our campus principles of community.

Our long-range goals flow from these core values. To sustain our progress, the campus will:

- (1) Improve performance on nationally-accepted measures of quality as assessed in external benchmarks and rankings.
- (2) Increase campus research activity and extramural funding by 33% within five years.
- (3) Strengthen focus on graduate education, including greater internationalization, to align more closely with the AAU institutions of UC.
- (4) Increase national and international undergraduate student enrollment to 10% of total undergraduate enrollment by 2020.

- (5) Build robust relationships with local and regional industry by creating a rich, diverse network of relationships between faculty, students, and industrial partners.
- (6) Develop a campus culture that values fund-raising as vital to the success of the academic mission.
- (7) Become nationally visible in shaping the ecology and economy of higher education.

## **SECTION 2: TWO-YEAR PRIORITIES AND PAST PROGRESS**

### **NEAR-TERM (TWO-YEAR) PRIORITIES**

- (1) Develop a campus strategic plan during 2013-14 using a collaborative strategic planning process.
- (2) Raise an additional \$80M in private support from the beginning of FY2014 by the end of the FY2015, focusing new gift activity on top campaign priorities.
- (3) Increase graduate enrollments by 200 incremental Ph.D. enrollments and by 100 incremental master's enrollment within two academic years, increasing the proportion of doctoral graduate enrollment toward the goal of 12% of undergraduate student total.
- (4) Improve first-year retention by one-three percentage points for all freshman and transfer undergraduates, including the broad range of overlapping subpopulations, as part of a larger initiative on undergraduate degree success.
- (5) Measurably increase grant proposal submissions across all disciplines and units to achieve per-unit targets.
- (6) Make progress on capital and infrastructure priorities as articulated in the UC Santa Cruz 2013-2023 Capital Financial Plan.

### 1. Academic programs and faculty

- Recruit, nurture, and retain faculty who make a comprehensive contribution to education and who promote research excellence.
- Initiate a multi-year plan to restore funding to faculty FTE that were “hollowed”.
- Also work to restore “hollowed” TA FTE, as well as improve the TA-to-undergraduate ratio, including factoring in growth anticipated in the LREP.
- Initiate a multi-year recruitment plan to offset the net loss of faculty.
  - Ladder faculty hires up three-fold in 2012-13.
  - Recruit faculty at a pace to increase the filled/budgeted ratio to 70% by 2020-21.

### 4. Enrollment planning

- Create an updated campus long-range enrollment plan (LREP) to influence and contribute to the new UC-wide LREP
  - Proposed UCSC LREP submitted July 2013;
  - Plan incorporates key enrollment-driven resources strategies (see *financial planning*);
  - UCOP/UCSC conversations about the submittal to occur starting in fall 2013.

### 2. Graduate education

- Achieve aspirational Ph.D. growth targets set by re-benching, in both established and developing graduate programs identified as campus priorities.
- Enrollment growth by 2020
  - Graduate enrollments comprise 15% of overall enrollment (Academic Senate goal) (Current rate: 8.6%)
  - PhD enrollments at 12% of undergraduate enrollment (UCOP “re-benching goal”) (Current rate: 8.7%)
  - 31% national & international graduate enrollment (Current rate: 20%)
- Move forward promising academic programs, including interdisciplinary & professional.
- Improve financial support and research opportunities (see *research, below*) and opportunities to participate in educational experience of undergraduates (see *undergraduate education, at right*).

### 5. Financial planning

- Implement a realistic, sustainable, multi-year funding model aligned with academic priorities
  - Near-term, multi-year (2012-13 through 2016-17) planning estimates for anticipated revenues, mandated costs/obligations, and campus priority investments completed.
  - Campus is working to aggressively diversify its revenue streams.

### 3. Undergraduate education

- Improve retention, time-to-degree, and graduation.
 

	<u>Goal</u>	<u>Most Recent</u>
1 <sup>st</sup> year retention	+2%	91%
4-year graduation	+7%	50%
6-year graduation	>80%	73%
- Increase national and international student enrollment.
  - 5% national and international undergraduate enrollment by 2015 (Current rate: 1.5%)
  - 11% national and international undergraduate enrollment by 2020-21
- Achieve Hispanic-Serving Institution (HSI) status.
- Help students graduate in four years or fewer.
- Provide academic programs with three-year budgets stability (i.e., within 5% of actual budgets).

► **Regional presence** (2010-12 goals)

- Strategic academic plan for SVI completed and final draft is under review.
- Graduate programs launched in SV
  - Technology and Information Management (TIM) MS (fall 2013)
  - Games and Playable Media MS (fall 2013)

In addition, the campus offers an MS in electrical engineering for Silicon Valley working professionals (it is not a PDST-funded program)
- Efforts underway for NASA Academic Mission Support (NAMS) contract that will be the successor to the present UARC contract.
- Efforts to explore the best pathway forward for NASA UDA development continue.

► **Research** (2010-12 goals)

- Identify success factors for and barriers to substantially grow research over five years

<u>Year</u>	<u>Award value</u>	<u>Change</u>
2007-08	\$ 131,141,368	+18%
2008-09	\$ 120,898,303	-8%
2009-10	\$ 147,854,793	+22%
2010-11	\$ 126,091,663	-15%
2011-12	\$ 140,260,894	+12%
2012-13	\$ 132,535,731	-6%

- Improve faculty competitiveness for large, multi-PI or multi-disciplinary awards
- Increase research support for graduate students (GSRs & financial aid paid from grants)

<u>Year</u>	<u>RA-ship awards</u>	<u>Change</u>
2008-09	\$ 11,834,662	
2009-10	\$ 11,689,468	-1%
2010-11	\$ 13,515,056	+16%
2011-12	\$ 14,477,825	+7%
2012-13	TBD	TBD

- “Working Smarter”—campus continues to explore potential adoption of a research administration module.
- Addressing campus research infrastructure and removing key barriers (e.g., with key investments in co-generation, network infrastructure, etc.)

► **Philanthropy** (2010-12 goals)

- 8½-year goal: \$300M (July 2009 through December 2017)
- As of 10/18/2013 gifts and pledges total \$151 M (toward \$300 M goal)

- Increase private support (CAE/Cash method)

<u>Year</u>	<u>Gift value</u>	<u>Change</u>
2007-08	\$ 27,360,331	-1%
2008-09	\$ 32,312,117	+18%
2009-10	\$ 21,900,752	-32%
2010-11	\$ 20,332,457	-7%
2011-12	\$ 22,898,666	+13%
2012-13	\$ 23,790,841	+4%

- Double annual amount raised through private philanthropy over span of the campaign

References:

- UC Santa Cruz *Two-Year Goal Statement(s)* [<http://planning.ucsc.edu/acadplan/docs/2yrGoals.asp>]

**Actions & investments:**

- Using re-benching funding, 16 FTE (2012-13) and 20 FTE (2013-14) were un-hollowed, allocated, and recruitments authorized; 16 FTE planned for 2014-15.
- Regularized UG over-enrollment supplemental allocations (for lecturers, TAs, GSIs, and other academic staff) to better match essential resources with UG enrollments.
- Created new TA-ships: 3.85 FTE in 2012-13 and 8.6 FTE in 2013-14; plans under way to restore additional lost TA FTE, as well as bring the overall undergraduate student-to-TA ratio to 44:1 (from its current 53.5:1).
- *Applied Economics and Finance MS* set to “re-start” in fall 2014.

**Metrics:**

- *2012-13:* Ladder faculty hires up three-fold:

	<u>07-08</u>	<u>08-09</u>	<u>09-10</u>	<u>10-11</u>	<u>11-12</u>	<u>12-13</u>	<u>13-14</u>
Annual separations & retirements (prior year)	-24	-20	-18	-26	-17	-26	-33
Annual ladder faculty hires (year filled)	+33	+33	+18	+10	+6	+17	≈ +24

- *Goal:* To ensure the quality of the campus's instructional programs, research productivity, and reputation, the campus will recruit faculty at a pace to increase the filled/budgeted ratio to 70% by 2020-21.
- *Goal:* Build the campus's profile to more closely resemble that of an AAU institution

**Next steps:**

- A Joint Senate/Administrative Task Force focused on (academic structures and strategic planning) made recommendations on budget, curriculum & research, and graduate growth.
- We will be using decision-support analytics to provide additional insight for faculty hiring and strategic program development. This will allow us to benchmark with peer or aspirational institutions and to identify current and emerging areas of strength.
- Develop Program Learning Outcomes for every undergraduate program to help students make informed choices about their major selection and progress to degree; develop program-specific, faculty-led learning assessment.

## 2 Graduate education. Achieve aspirational Ph.D. growth targets enabled by re-benching, in both established and developing graduate programs identified as campus priorities.

### Actions & investments:

- Vice Provost/Dean of Graduate Studies (VPDGS) developed an initial framework for supporting graduate growth.
  - "Dean's doctoral fellowships" have been allocated to jump-start PhD growth.
  - *Proposal developed:* Masters' incentive to provide program financial flexibility to grow doctoral enrollments.
  - *Proposal developed:* TA allocations to weighting for graduate program growth and to include GSI FTE, designed to enhance the UG education experience and provide teaching experience on a competitive basis.
- Graduate student support increases.
  - 3-year commitment to *Cota-Robles* program commencing 2013-14;
  - Graduate fellowship support; and
  - Targeted foreign graduate student support.
  - Launched the Chancellor's Graduate Internship Program to engage doctoral students in projects that study and improve our campus over the course of one year.
- Completed campus climate studies about issues of importance to graduate students ([planning.ucsc.edu/irps/graduatesurveys.asp](http://planning.ucsc.edu/irps/graduatesurveys.asp)).

### Next steps:

- Work to improve funding from external sources (principal investigator research grants, training grants, and student-initiated fellowships) and to identify additional on-going financial strategies to create certainty about continuation funding and multi-year support.
  - Transition existing (and increases due to growth) masters-level return-to-aid support into block grants for PhD students.
  - Create on-campus work opportunities for graduate students - particularly those that foster stronger links with UG education.
  - Increase philanthropy.
- Strategically plan year-by-year doctoral growth goals by discipline.

### Metrics:

- *Fall 2013:* Entering doctoral class of 300, the campus's largest.
- *LREP goal:* 2020-21 graduate growth aspirations:

	<u>2013-14</u>		<u>2020-21</u>	
	<u>FWS</u>	<u>Summer</u>	<u>FWS</u>	<u>Summer</u>
Graduate Academic - Master's (+260 FTE)	245	55	335	225
Graduate Academic - Doctoral (+945 FTE)	1,130	15	2,040	50
Graduate Professional - PDST (+590 FTE)	0	0	450	140

### 3 Undergraduate education. Improve undergraduate degree success and ensure a quality educational experience for our increasingly diverse array of students.

#### Actions & investments:

- Undergraduate Student Success (USS) team publishes its report, "*Undergraduate Student Success: Building on the Past, Changing the Future*," with recommendations to increase retention rates and enhance academic pathways to allow students to graduate in four years or less.
- Implement new programs for student success, including *First-year Honors Program*, *UCSC Challenge Program* (in the colleges), and *Navigating the Research University*. Undergraduate research coordinator promotes opportunities for undergraduates.
- Cultivate college preparedness through UCSC's *Educational Partnership Center*, the *Santa Cruz County College Commitment* (C4C) and additional regional collaborations.
- Report on [current directions, vision, and strategies for summer session](#) (one element in the campus's time-to-degree strategies) published.
- International student goals/strategies supported via two appointments: an Interim Associate Dean of International Education, and a Special Advisor to the Chancellor for International Initiatives.
- Regularized UG over-enrollment supplemental allocations to support UG instructional FTE over baseline and ensure UG curricular capacity.

#### Metrics:

- *Fall 2013*: International students comprised approximately 3 percent and domestic non-resident students about 5 percent of the 2013 entering freshman class.
- *2012-13*: Hispanic students comprise over 25% of UCSC's undergraduate population, making us eligible to be a Hispanic-Serving Institution under Title 3 and 5.
- *Goal*: By 2015, supplemental nonresident tuition-paying undergraduate enrollments comprise 5%; and by 2020, 11%.

#### Next steps:

- Continue faculty and Senate efforts to improve curricular efficiency and better facilitate four-year graduation rates.
- VPDUE will continue to consider changes to student support services designed to improve overall retention and graduation rates and time to degree.
- Continue to explore targeted international student strategies.
- Complete process for formal designation as a "Hispanic serving institution" (by 2015).
- Continue efforts to reduce costs and reallocate resources to maintain a quality educational experience for undergraduates.

**4 Enrollment planning.** Create an updated campus long-range enrollment plan (LREP) to influence and contribute to the new UC-wide LREP.

**Actions & investments:**

- Completed and submitted a 2013-14 to 2020-21 Long Range Enrollment Plan (LREP) aligned with the following outcomes and principles:

Campus-specific

- Relatively stable entering frosh class of <4,000 new frosh (lower-division curriculum)
- Grow enrollments in both doctoral (aspirational growth) and masters (optimize curricular utilization and revenue, address professional needs) programs
- Maximize non-resident enrollments (revenue generation, diversity & global perspectives)
- LRDP/CSA:
  - Stay within 2005 LRDP boundary conditions (e.g., housing)

Shared UC-wide

- Maintain access for California residents
  - Entering frosh
  - Overall UG
- Increase CCC transfers (Master Plan)
- Maximize enrollment in summer (facilities utilization, time-to-degree)
- LRDP/CSA 2020-21 boundary conditions:
  - 3-qtr-ave UG  $\leq 17,500$  FTE
  - 3-qtr-ave total  $\leq 19,500$  FTE
  - Traffic  $\leq 28,700$  ADT
  - House 67% of enrollment > 15,000 FTE

- Analysis by UCOP/alignment with Master Plan shared with Chancellors/campuses.

**Metrics:**

- Goals:*
  - Supplemental nonresident tuition-paying undergraduates as percent of overall undergraduates (5% by 2015; 11% by 2020)
  - Summer undergraduate enrollment (equivalent to 1,500 FTE by 2020)
  - Doctoral as percent of undergraduates (12% re-benching); graduate as percent of overall (15% Senate)

**Next steps:**

- Work with UCOP on final LREP
- Create and execute financial plans/strategies that enable LREP aspirations
- Monitor key enrollment-driven revenues and make year-by-year strategy adjustments to achieve revenues anticipated by LREP goals.

## 5 Financial planning. Implement a realistic, sustainable, multi-year funding model aligned with academic priorities.

### Actions & investments:

- In the context of changed external environment, the campus developed near-term, multi-year (2012-13 through 2016-17) planning estimates for anticipated revenues, mandated costs/obligations, and campus priority investments.

#### *Assumptions include:*

- No further cuts in State resources
- No tuition/fee increases (UC is working to modify this assumption)
- Re-benching is fully implemented over a six-year timeframe
- UC will realize savings from lease revenue bond refinancing.

#### *Allocation/reallocation priorities include:*

- Set aside funding each year for TA FTE, graduate student support, and OMP/deferred maintenance
- Continue annual allocation for "undergraduate over-enrollment funding"
- Invest in philanthropy
- Restore "hollow" faculty FTE at a minimum rate of 16 faculty FTE/year
- Begin restoring TA FTE positions
- Reserve some one-time funding for academic support services
- Reserve funding for faculty/staff salaries increases.

### Metrics:

- Selected enrollment-driven revenues (*see "4. Enrollment Planning" above*)

### Next steps:

- Use assumptions and estimates to provide an active framework for making multi-year budget decisions that move the campus forward even under a difficult revenue environment.
- Leverage the strategic planning process to develop consensus and shared goals/metrics for
  - Year-by-year doctoral support needs/strategies by discipline
  - Enrollment-driven resources consistent with LREP (including income from summer session and non-resident enrollments)
  - Significant growth of extramural grants and contracts - including increased revenues from the UARC and its successor contract
  - Significant increases in philanthropy
  - Continued cost reduction/avoidance and reallocation of resources.

**Actions & investments:**

- Educational/research initiatives in Silicon Valley (e.g., UNEX, TIM, UARC, NASA UDA) continue by completing focused plans emphasizing closer articulation/integration with campus academic programs and with UC-wide research opportunities.
  - Games and Playable Media MS launched in fall 2013; and TIM has been relocated in Silicon Valley as a PDST-funded program.
  - Financial modeling templates/tools for the costs of launching new PDST-funded masters programs have been developed.
- The Strategic Academic Plan for Silicon Valley, which has undergone faculty and administrative review in draft form. It will undergo a final round of review in fall 2013.
- During 2013, the campus continued to position itself for a NASA Academic Mission Support (NAMS) contract and worked closely with NASA/Ames management to ensure that the current UARC partnership fulfills its full potential.
- The campus continues to explore the best path forward in relation to the University Development Area (UDA) project at the NASA Research Park.

**Metrics:**

- *Goals:*
  - *Academic program milestones:* Two new PDSTs/year launched in 2014-15, 2015-16, and 2016-17.
  - Success of *University Associates, LLC*, in working with possible developer.

**Next steps:**

- Finalize/adopt *Strategic Academic Plan for Silicon Valley*.
- Prepare proposal for NASA Academic Mission Support (NAMS) contract that will be the successor to the present UARC contract.
- Continue to focus/pursue options for UDA.



## Research. Identify success factors for and barriers to substantially growing research over the next five years.

### Actions & investments:

- Provided funding for a Special Agreements Officer, extramural accounting, contracts and grants administration, seed funding for *Kuali-Coeus* research administration system, and intellectual property development.
- Provided funding for infrastructure supporting research (e.g., cogeneration replacement; natural gas service reinforcement; improvements to campus electrical systems for reliability; storm water management/ compliance; network infrastructure renewal and wiring/network upgrades.
- Acquired decision-support analytics to identify new opportunities for faculty to expand the campus educational and research presence.

### Metrics:

- *Goal to substantially grow extramurally-funded research:* Overall trend has been upward.

### Next steps:

- Champion UCSC research and faculty to Silicon Valley and beyond, and bolster our technology transfer capabilities.
- Use decision-support analytics to provide additional insight in seeking out new sources of extramural support, benchmarking with peer or aspirational institutions, and identifying current and emerging areas of strength.
- Continue research administration process improvement efforts (including consideration of the UC-wide "working smarter" research administration project underway at several UC campuses).
- Continue on multi-phase Telecommunications Master Plan (spanning 2013 thru 2018), as well as other infrastructure improvements.

**Actions & investments:**

- In support of the Comprehensive Campaign, the campus has provided a multi-year support package (through 2016-17), as well as continuing the \$900K development allocation (by off-setting the loss of UCOP funding) and providing targeted funding (e.g., off-setting 2013-14 budget cuts, funding a special assistant, and investing in fundraising efforts by academic deans).
- Completed the preparation, organizational, and nucleus gift phases of the *Comprehensive Campaign* and launched October 18, 2013 (to coincide with *Founders Celebration 2013* and other 50<sup>th</sup> anniversary activities).

2007-09	2009-13		2013-17		
INITIATION/ PREPARATION	SILENT PHASE (Campaign begins July 2009)		PUBLIC PHASE		
Campaign preparation	Organization al Stage	Nucleus gifts stage	Fall 2013 public launch	General gifts stage	Campaign concludes

As of 10/18/2013 gifts and pledges total \$151M (toward \$300M goal).

- Efforts to sharpen the institutional vision and strengthen its visibility and reputation include the "original" campaign ([ucsc.edu/original](http://ucsc.edu/original)).

**Metrics:**

- For 2012-13, gifts and pledges ("accrual method") totaled \$28.1M; gifts and pledge payments ("cash method") totaled \$23.8 M.
- Goal: Establish a "new normal" in annual fundraising-doubling the annual amount raised through private philanthropy over the span of the campaign (7/1/09 through 12/31/17).

**Next steps:**

- Continue to focus on activities related to a successful Campaign launch
  - Operationalize Campaign Steering Committee;
  - Align key prospects/gift opportunities with Campaign priorities and key initiatives;
  - Launch planning/post-launch planning/50th anniversary/etc.;
  - Sharpen the institutional vision and strengthen its visibility and reputation.
- Continue to develop graduate student support funding priorities (e.g., related to high-impact research initiatives, the "transformative" student experience, etc.).
- Commence strategy work on funding for capital facilities (once the campus has re-assessed/estimated UCSC's I&R capital needs based upon LREP submittal).

## **SECTION 3: SYSTEM-WIDE INITIATIVES**

### **UC SANTA CRUZ CONTRIBUTIONS TO SYSTEM-WIDE INITIATIVES**

#### CENIC Board of Directors

- Vice Chancellor of Information Technology Services is UC Representative

#### UCPath

- Wave 1 campus, with strong executive level commitment
- Active in all phases of the project, with members on the Executive Committee and Steering Committee
- Contributed significantly to project direction and assessment, including the introduction of a risk register to the project

#### Other Leadership Roles in Innovations and Working Smarter

- Wholesale energy
- P200
- Reverse auctions

#### Other System-Wide Groups and Committees

- Provost/EVC was 2012-13 COVC Convener
- Vice Chancellor of Information Technology Services was 2012-13 ITLC Convener
- Vice Chancellor of Planning and Budget is member of UCO Board
- Vice Chancellor of Planning and Budget is 2013-14 Business and Planning Officers (VCPBs) Convener
- Chancellor is a member of the TMT Fundraising Executive Committee
- Vice Chancellor, University Relations is a member of TMT Fundraising Task Force

#### UC Libraries

- UC Santa Cruz Library administration led the year-long modification of the UC Libraries Advisory Structure, with new structure successfully launched July 1, 2013

#### WASC Accreditation

- First UC campus under new Handbook (UCB and UCD were in pilot phases)
- Playing larger role in system-wide discussions around interfacing with WASC and shaping WASC policies.

## **ROLE OF UCOP AND SYSTEM-WIDE INITIATIVES IN ASSISTING UC SANTA CRUZ**

As a medium-size public research university in the national context, we are the second-smallest general purpose UC campus. UCOP's assistance and oversight are essential in supporting UC Santa Cruz. The biggest challenge we face from UCOP initiatives are the temporal overlaps in projects: UCPATH, which requires Composite Benefit Rates; Common Chart of Accounts; P200; student health records, etc. Given our size, many of the same staff and administrators need to be involved in each of these projects. Trying to do too many of these at the same time or with false urgency overall or in individual steps can be crippling to us, leading to burn out for individuals needed for these projects by the campus and the system.