

**UNIVERSITY OF CALIFORNIA**  
**BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE**  
**SAN DIEGO • SAN FRANCISCO • SANTA BARBARA • SANTA CRUZ**



**NOTICE OF MEETING**  
**ASSEMBLY OF THE ACADEMIC SENATE**

**Wednesday, December 10, 2014**  
**10:00 am - 4:00 pm**

**UC Office of the President**  
**Lobby 1**  
**1111 Franklin Street, Oakland**

|             |  |            |
|-------------|--|------------|
| <b>I.</b>   | <b>ROLL CALL OF MEMBERS</b>                                    | <b>3</b>   |
| <b>II.</b>  | <b>MINUTES [ACTION]</b>  |            |
|             | Approval of the Draft Minutes of the Meeting of April 16, 2014 | <b>4-8</b> |
|             | Appendix A: Assembly Attendance, April 16, 2014                | <b>9</b>   |
| <b>III.</b> | <b>ANNOUNCEMENTS BY THE CHAIR</b>                              |            |
|             | ▪ Mary Gilly   |            |
| <b>IV.</b>  | <b>SPECIAL ORDERS</b>  |            |
| <b>A.</b>   | <b>Consent Calendar [NONE]</b>                                 |            |
| <b>B.</b>   | <b>Annual Reports [2013-14]</b>                                |            |
|             | Academic Council   | <b>10</b>  |
|             | Academic Council Special Committee on Lab Issues (ACSCOLI)     | <b>20</b>  |
|             | Academic Freedom (UCAF)  | <b>24</b>  |
|             | Academic Personnel (UCAP)                                      | <b>26</b>  |
|             | Affirmative Action and Diversity (UCAAD)                       | <b>28</b>  |
|             | Board of Admissions and Relations with Schools (BOARS)         | <b>31</b>  |
|             | Committee on Committees (UCOC)                                 | <b>38</b>  |
|             | Coordinating Committee on Graduate Affairs (CCGA)              | <b>41</b>  |
|             | Educational Policy (UCEP)                                      | <b>46</b>  |
|             | Faculty Welfare (UCFW)   | <b>49</b>  |
|             | International Education (UCIE)                                 | <b>55</b>  |
|             | Libraries and Scholarly Communication (UCOLASC)                | <b>59</b>  |
|             | Planning and Budget (UCPB)                                     | <b>62</b>  |
|             | Preparatory Education (UCOPE)                                  | <b>68</b>  |
|             | Privilege and Tenure (UCPT)                                    | <b>71</b>  |
|             | Research Policy (UCORP)  | <b>73</b>  |

- V. REPORTS ON SPECIAL COMMITTEES [NONE]**
- VI. REPORTS OF STANDING COMMITTEES**
- A. Academic Council**
- Mary Gilly, Chair Academic Council
  - 1. Discussion with Administrators by Invitation of the Academic Council
    - Patrick Lenz, Vice President, Budget and Capital Resources
    - Debora Obley, Associate Vice President, Budget and Capital Resources
- VII. ANNOUNCEMENTS BY THE PROVOST**
- Aimée Dorr
- VIII. UNIVERSITY AND FACULTY WELFARE REPORT [INFORMATION]**
- Joel Dimsdale, Chair, University Committee on Faculty Welfare
1. Total Remuneration 78
- a. 2014 Total Remuneration Study for General Campus Ladder Rank Faculty  
 (<http://compensation.universityofcalifornia.edu/total-remuneration-ladder-rank-faculty-2014.pdf>)
2. Health Care Benefits
- IX. REPORTS OF STANDING COMMITTEES**
- B. Academic Council (continued)**
2. Report from California Open Education Resources Council, by  
 Invitation of the Academic Council [INFORMATION]  
 (<http://icas-ca.org/coerc>)
- Randolph Siverson, UC Davis Professor Emeritus and Council Member
  - Mary Gilly, Academic Council Chair
3. CCGA Proposed Amendment to Bylaw 125.B.7 [ACTION] 83
- Mary Gilly, Chair, Assembly of the Academic Senate
4. Doctoral Student Support Recommendations [INFORMATION] 87
- Mary Gilly, Academic Council Chair
- C. Board of Admissions and Relations with Schools**
1. Report on Current Issues in Undergraduate Admissions [INFORMATION]
- Ralph Aldredge, Chair, BOARS
- X. PETITIONS OF STUDENTS [NONE]**
- XI. UNFINISHED BUSINESS [NONE]**
- XII. NEW BUSINESS**

## **I. Roll Call**

### **2014-15 Assembly Roll Call December 10, 2014**

#### **President of the University:**

Janet Napolitano

Darryl Taylor

#### **Academic Council Members:**

Mary Gilly, Chair

J. Daniel Hare, Vice Chair

Panos Papodopoulous, Chair, UCB

Andre Knoesen, Chair, UCD

William Molzon, Chair, UCI

Joel D. Aberbach, Chair, UCLA

Jian-Qiao Sun, Chair, UCM

Jose Wudka, Chair, UCR

Gerry Boss, Chair, UCSD

Farid Chehab, Chair, UCSF

Kum-Kum Bhavnani, Chair, UCSB

Donald Brenneis, Chair, UCSC

Ralph Aldredge, Chair, BOARS

Jutta Heckhausen, Chair, CCGA

David Lopez-Carr, Chair, UCAAD

Jeffrey Knapp, Chair, UCAP

Tracy Larrabee, Chair, UCEP

Joel Dimsdale, Chair, UCFW

Liane Brouillette, Chair, UCORP

Gary Leal, Chair, UCPB

#### **Los Angeles (8)**

Roman Koropecjy

Purnima Mankekar

Hanna Mikkola

Frank Petrigliano

Ninez Ponce

E. Richard Stiehm

Christopher Tilly

Dorothy Wiley

#### **Merced (1)**

Robin Maria DeLugan

#### **Riverside (2)**

Mary Gauvain

Ilhem Messaoudi Powers

#### **San Diego (5)**

Grant Goodall

Joanna McKittrick

Susan Narucki

Margaret Schoeninger

Steven Wasserman

#### **Berkeley (5)**

Kristie Boering

Suzanne M. J. Fleiszig

Oliver O'Reilly

Theodore Slaman

Lowell Dittmer (alt for David Zilberman)

#### **San Francisco (4)**

Jacque Duncan

John Feiner

Elyse Foster

Russell Pieper

#### **Davis (6)**

Gian Aldo Antonelli

Angie Chabram-Dernersesian

James Chalfant

Gino Cortopassi

John Oakley

Robert L. Powell

#### **Santa Barbara (3)**

Charles Akemann

Henning Bohn

Eric Matthys

#### **Santa Cruz (2)**

Olof Einarsdottir

Catherine Jones

#### **Irvine (4)**

Sameer Ashar

David Kay

John Lowengrub

#### **Secretary/Parliamentarian**

George J. Matthey

## MEETING OF THE ASSEMBLY OF THE ACADEMIC SENATE

April 16, 2014

## MINUTES OF TELECONFERENCE MEETING

## I. ROLL CALL OF MEMBERS

Pursuant to the call, the Assembly of the Academic Senate met by teleconference on Wednesday, April 16, 2016. Academic Senate Chair William Jacob presided and called the meeting to order at 10:00 am. Senate Director Martha Winnacker called the roll of Assembly members and confirmed a quorum. Attendance is listed in Appendix A of these minutes.

## II. MINUTES

**ACTION:** The Assembly approved the minutes of the February 12, 2014 meeting as noticed.

## III. ANNOUNCEMENTS BY THE CHAIR

o *Bill Jacob*

Graduate Education Conference: Provost Dorr and Senate Vice Chair Gilly co-chaired a University-wide doctoral education conference on April 15 at UC Irvine. The conference focused on 39 separate best practices and proposals for supporting graduate students submitted by the graduate deans, Graduate Council chairs, CCGA, and the systemwide Association of Graduate Students. These addressed areas such as competitiveness, diversity, professional development, and nonresident tuition. Conference organizers intend to develop a formal systemwide proposal for the review of the Regents in July.

Composite Benefit Rates: President Napolitano has asked a joint Senate-Administration Advisory Group to help guide her decision about composite benefit rates. The group will be gathering data and modeling scenarios in time for the President to discuss a recommendation with the Council of Chancellors on May 7. Chair Jacob, Vice Chair Gilly, and UCFW Chair Hare are the Senate representatives to the group. Chancellors Blumenthal (UCSC), Khosla (UCSD), and Yang (UCSB); Chief Financial Officer Taylor, and Associate Vice President Arrivas are the other participants.

Chancellor Searches: Chair Jacob is participating on search committees for chancellors at the San Francisco and Irvine campuses. Regents' policy requires chancellor search committees to include five Regents, five Senate members – three of whom come from the division – as well as alumni and students from the campus. Divisional faculty are encouraged to contact Chair Jacob with names of chancellor nominees or to share their opinions and priorities regarding priorities for the new chancellors.

Statement on Importance of Writing: At its April 9 meeting, the Academic Council voted to endorse and forward to the president a "[Statement on the Importance of Writing at the University](#)"

[of California](#),” authored by the Board of Admissions and Relations with Schools (BOARS) and the University Committee on Preparatory Education (UCOPE). The statement references the upcoming redesign of the SAT exam, including moving its Essay segment from mandatory to optional, and notes that UCOPE and BOARS will assess what role the new Essay section should play in providing guidance on appropriate preparation for UC and in evaluating students applying for admission to UC. The committees felt it was important to convey to high school students, teachers, and counselors the message that writing preparation is essential for success at UC.

**Professional Fee and Program Policies:** Following a systemwide review, the Senate expressed concerns to the Provost about a pair of proposed policy revisions covering high-fee professional degree programs. The policies on Self-Supporting Graduate Professional Degree Programs (SSGPDPs) and Professional Degree Supplemental Tuition (PDST) will undergo additional revisions and be released for a second round of review later in the year.

**March Regents Meeting:** The [results](#) of the 2012 UC Campus Climate Survey were released at the March 19 Regents meeting. President Napolitano directed each of the 13 UC locations covered by the survey to identify two to three action items with measurable goals and timelines by the end of 2014. It is essential for the Senate to actively participate in each campus’s response to the data. The Regents also approved UC’s financial participation in the Thirty-Meter Telescope (TMT) project, an international collaboration that will leverage UC’s systemwide research capabilities, and they heard a report from the Senior Vice President for Health Sciences warning that UC’s clinical enterprise are likely to face deficits by 2017, even if significant administrative savings are found.

An Assembly member noted that the faculty members on the chancellor search committees should insist that candidates for the position of chancellor must have an academic background and an excellent record of scholarship. Another member noted concern about whether the constitution of the Irvine chancellor search committee was broadly inclusive. Irvine’s Divisional chair noted that the Senate was consulted in the process of constituting the committee. UCSF’s chair added that the UCSF Senate was also consulted in the constitution of its search committee.

## **IV. REPORTS OF STANDING COMMITTEES**

### **A. Academic Council**

- *Bill Jacob, Chair, Academic Council*

#### **1. Nomination and election of the Vice Chair of the 2014-15 Assembly**

Chair Jacob introduced J. Daniel Hare, the Academic Council’s nominee for 2014-15 Assembly vice chair and 2015-16 Assembly chair. Professor Hare is Professor of Entomology at UC Riverside and current chair of UCFW. Chair Jacob stated that Professor Hare has been a strong and consistent voice for faculty welfare issues and is well-prepared to take on the broader systemwide leadership role of Senate vice chair. He asked for any additional nominations from the floor, and hearing none, invited Professor Hare to make a statement. Professor Hare made a brief statement about his goals and priorities and noted that he looks forward to working with Chair-designate Mary Gilly next year on initiatives that will maintain UC’s excellence. He then left the room. A motion for a vote was made and seconded, and a vote was taken.

**ACTION: The Assembly voted unanimously to elect J. Daniel Hare vice chair of the 2013-14 Assembly vice chair.**

## **2. Ratification of the 2014 Oliver Johnson awardees**

Chair Jacob stated that the Oliver Johnson Award for Distinguished Senate Service is presented every other year to a Senate member in recognition of lifetime service to the Academic Senate, outstanding and creative contributions to faculty governance, and exceptional abilities in working with different University constituents. The award is governed by procedures adopted by the Academic Council, in which each Senate division is asked to nominate a candidate and the University Committee on Committees selects two names to forward to Council. Council then selects an awardee or awardees from the two nominations it receives, and asks the Assembly to ratify the choice. This year, Council voted to honor both UCOC nominees—UCLA Professor Kathleen Komar and UCSD Professor Joel Dimsdale.

**ACTION: The Assembly ratified the nominations of Professors Joel Dimsdale and Kathleen Komar as the 2014 recipients of the Oliver Johnson Award.**

## **B. Coordinating Committee on Graduate Affairs**

- *Donald Mastronarde, Chair, CCGA*

### **1. UC Riverside Proposed Master of Public Policy**

CCGA Chair Mastronarde stated that Bylaw 180.B.5 requires the Assembly to approve new degree programs when the program will award a degree that is a new title on the campus. The School of Public Policy at UC Riverside was approved in 2008 but was not implemented due to budget constraints. CCGA recently approved the Master of Public Policy (MPP) degree program planned to open in fall 2015 and is submitting it for the Assembly's approval.

**ACTION: A motion was made and seconded to approve the addition of the MPP degree title at UC Riverside. The Assembly approved the degree title by unanimous consent.**

## **V. UNIVERSITY COMMITTEE ON FACULTY WELFARE REPORT**

- *J. Daniel Hare, Chair, UCFW*

Chair Hare noted that UCFW is asking all individuals seeking changes to the 2014-15 provider list for UC Care's lower cost ("UC Select") tier to make their request through their divisional faculty welfare representatives by May 9. The UCFW Health Care Task Force chair will then forward all requests to the administration. The employer contribution for UCRP will rise to 14% on July 1, and UCFW is concerned that failing to follow the Regents' plan to ramp up the employer contribution to 18% by 2018 will increase the unfunded liability to \$20 billion by 2042. UCFW is developing a funding proposal that will help meet UCRP's full funding needs and pay down its unfunded liability over the long term. The proposal calls on the university to use an internal borrowing mechanism to meet two years of the Annual Required Contribution. Campuses would pay off the loan over ten years with an additional 2% surcharge on the employer contribution. Finally, UCOP's total remuneration study for faculty is underway and scheduled to be completed by May 19, with full results expected by the end of the academic year.

## **VI. ANNOUNCEMENTS BY THE PRESIDENT**

○ *Janet Napolitano*

University Budget: The President has completed a series of budget review meetings with campus leadership teams and is considering a multi-year approach to the UC budget that combines increased state funding with one of several possible tuition models. She is meeting with the Governor at the end of April to discuss the University's budget and the level of state funding UC needs to sustain its programs and avoid deficits. The President will have a clearer picture of where UC stands in mid-May, after the Governor releases his budget revision and updated revenue projections become available.

President's Initiatives: The President thanked BOARS Chair George Johnson for co-chairing the Transfer Action Team and noted that she met with the CSU and CCC chancellors to discuss the extent to which the higher education segments can consolidate their efforts around transfer and high school outreach, and more generally, combine forces to speak as a unified voice on higher education issues. The segment leaders also want to conduct a study of long-term enrollment capacity. The President noted that her initiative to increase and strengthen academic and cultural partnerships between UC and Mexico is moving forward, as are a number of activities related to her initiative to enhance the transition of UC basic research and UC-developed technologies to the marketplace.

### **Questions and Comments:**

**Q:** Is there a timeline for completion of the UC Irvine chancellor search, and will there be an opportunity for public input?

**A:** I expect the search committee to interview six to eight candidates and complete its process in September. Regents' policy does not allow for public interviews or public vetting of candidates, because it would discourage many potential candidates from participating in the process.

**Q:** Can you say more about your expectations for the enrollment capacity study?

**A:** UC is working with CSU and CCC to project how long-term enrollment planning and capacity at UC and the other segments will be impacted by the number of expected California high school graduates, "a-g" completion rates, community college enrollments, and state funding. I believe California should be sending a higher proportion of its high school graduates to college. We are low relative to other states. We need to do a better job of preparing and recruiting students, particularly students from underrepresented groups.

**Q:** How can interested UC faculty can stay informed about the UC-Mexico initiative?

**A:** One of my initial goals for the project is to take an inventory of all UC's current Mexico programs and move them under one umbrella. UC Riverside, as host of the initiative, is building a website that will serve as a repository for this information and about the program as it develops. But for now, interested faculty should contact the Office of the Provost. I expect graduate education to be one of the first areas for the initiative; I know that the president of Mexico, like myself, is interested in increasing and enhancing exchange opportunities for graduate students and faculty.

**Q:** What is the financial status of the UC Medical Centers?

A: The UC Medical Centers are financially healthy, but we need to adjust the cost curve to avoid deficits that could arise as soon as 2017. We are working with the five medical centers to explore “scale of value” projects that can save money by leveraging common processes across the system.

## **VII. ANNOUNCEMENTS BY THE PROVOST**

○ *Aimée Dorr*

Campus Climate Survey: President Napolitano is sending letters to the leaders of the 13 UC locations covered in the campus climate survey asking that they use the report and data to identify actionable goals, metrics, and a timeline to meet the goals, and to report their progress to her by the end of the 2014 calendar year.

Graduate Education Conference: The working meeting on doctoral education held yesterday at UC Irvine was highly productive. Each campus brought an enthusiastic and engaged five-person team of faculty, graduate students, and administrators (most from the graduate division, research, or budget office). Conference participants broke into four work groups, each of which was asked to produce a minimum of three recommendations for improving graduate education, and a cost estimate for each. The proposals generated by the groups include building a networking website for doctoral students, eliminating nonresident supplemental tuition (NRST) after the first year, and creating new avenues for increasing scholarship and fellowship support. The work groups also discussed the importance of “family friendly” policies, affordable housing, and spousal hiring, and the need for UC to be clearer to graduate student recruits about financial support offers. Conference organizers will be assembling the recommendations and sending them to Senate and administrative groups for review and feedback.

Professional Degree Policies: The Academic Planning Council is preparing new draft revisions to the policies governing Self-Supporting Graduate Professional Degree Programs (SSGPDPs) and Professional Degree Supplemental Tuition (PDST), in response to concerns expressed during the initial systemwide review earlier this year. Self-supporting programs are typically targeted to students seeking professional training rather than academic Ph.D.s. SSGPDP programs and their fee levels are approved by the president, while the authority to levy PDST and set their amounts belongs to the Regents. The President is responsible for implementing PDST after Regental approval. The effort to update the SSGPDP policy comes as more programs are expressing an interest in converting to self-supporting status.

Online Education: The Innovative Learning Technology Initiative (ILTI) has identified 35 new online or hybrid courses for funding and plans to release another RFP for ILTI courses this fall. ILTI also plans to direct some funding to support the additional costs associated with opening up existing campus-based online courses to all UC campuses.

The meeting adjourned at 12:00 pm

Attest: Bill Jacob, Academic Senate Chair

Minutes Prepared by: Michael LaBriola, Academic Senate Analyst

Attachments: Appendix A – Assembly Attendance Record, Meeting of April 16, 2014



## **Appendix A – 2013-2014 Assembly Attendance Record, Meeting of April 16, 2014**

### **President of the University:**

Janet Napolitano

Craig Walsh

Elliott Currie

### **Academic Council Members:**

William Jacob, Chair

Mary Gilly, Vice Chair

Elizabeth Deakin, Chair, UCB

Bruno Nachtergaele, Chair, UCD

Peter Krapp, Chair, UCI

Janice Reiff, Chair, UCLA

Ignacio Lopez-Calvo, Chair, UCM

Jose Wudka, Chair, UCR

Kit Pogliano, Chair, UCSD

Farid Chehab, Chair, UCSF

Kum-Kum Bhavnani, Chair, UCSB

Joseph Konopelski, Chair, UCSC

George Johnson, Chair, BOARS

Donald Mastronarde, Chair, CCGA

Emily Roxworthy, Chair, UCAAD

Timothy Labor, Chair, UCEP

J. Daniel Hare, Chair, UCFW

Robert Clare, Chair, UCORP

Gary Leal, alt for Donald Senear, Chair,

UCPB

### **Berkeley (5)**

Leslea Hlusko

Nicholas Mills

Kristofer Pister

Panos Papadopoulos (alt for Lowell

Dittmer)

Karen Christensen (alt for Robin Einhorn)

### **Davis (6)**

Richard Grotjahn

John Oakley

Ahmet Palazoglu

### **Irvine (4)**

Darryl Taylor

### **Los Angeles (8)**

Hanna Mikkola

Purnima Mankekar

Frank Petrigliano

E. Richard Stiehm

Christopher Tilly

### **Merced (1)**

Paul Maglio

### **Riverside (2)**

Bahram Mobasher

Ilhem Messaoudi Powers

### **San Diego (5)**

Eduardo Macagano

Margaret Schoeninger

Jan Talbot

Steven Wasserman

### **San Francisco (4)**

Jacque Duncan

Catherine Waters (alt for Elyse Foster)

Robert Nissenson

Russell Pieper

### **Santa Barbara (3)**

William Davies King

B.S. Manjunath

Daniel Montello

### **Santa Cruz (2)**

Marilyn Walker (alt for Donald Brenneis)

Joel Ferguson

### **Secretary/Parliamentarian**

George J. Matthey

## **ACADEMIC COUNCIL ANNUAL REPORT 2013-14**

### **TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

The Academic Council is the executive committee of the Assembly of the Academic Senate. It acts on behalf of the Assembly on non-legislative matters, advises the President on behalf of the Assembly, and has the continuing responsibility through its committee structure to investigate and report to the Assembly on matters of Universitywide concern. The Academic Council held eleven regular meetings and several additional teleconferences during the 2013-14 year to consider multiple initiatives, proposals, and reports. Its final recommendations and reports can be found on the [Academic Senate website](#). Matters of particular import for the year include:

### **THE NEW UC PRESIDENT**

President Janet Napolitano, who took office on September 30, joined most Council meetings to exchange views with Council members about a range of topics, including the University budget, transfer admission, diversity and campus climate, health care and benefits, and alternative revenue sources for the university. The President also spent a portion of each meeting updating Council on the progress of her own initiatives. On the whole, these dialogues were fruitful, informative, and candid, although there were also some challenges associated with helping the new president learn about shared governance as a core value that sustains the university. At the beginning of her term, the systemwide Senate office gave President Napolitano a [briefing booklet](#), which includes a primer on shared governance and a summary of the Senate's views on topics that were under active discussion at time, such as admissions, UCRP, total remuneration, graduate education, research, and budget rebenching.

### **BUDGETARY ISSUES**

#### ***Monthly Briefings***

Senior leaders from the Office of the Executive Vice President - Business Operations and the Office of Budget and Capital Resources joined President Napolitano and Provost Aimée Dorr regularly at Council meetings to provide high level updates about the progress of budget negotiations in Sacramento, UCRP funding, UC Path, the restructuring of UC's lease revenue bond debt, proposed performance outcome measures, the Governor's Innovative Grants Program, accountability reporting requirements, capital projects funding, enrollment planning, tuition policy, investment priorities, and other budget matters. Administrators briefed Council on their efforts to inform and educate legislators and Regents about UC's cost-saving initiatives, options for adjusting cost drivers and revenues, and the need for new revenue to maintain quality. A subset of Council members also participated in monthly budget briefing teleconferences for faculty and senior administrators hosted by Provost Dorr.

#### ***Recommendation to Borrow to Fund UCRP***

In June, Council endorsed a [recommendation](#) from UCFW and its Task Force on Investment and Retirement (TFIR) to use a two-year internal borrowing mechanism to fund the Annual Required Contribution to UCRP to help ensure UCRP's long-term health. Council's letter to Executive Vice President Brostrom also expressed support for a borrowing plan proposed by the administration to

address UCRP's unfunded liability that was similar in concept to the TFIR recommendation. In July, the Regents approved the borrowing plan prepared by the administration.

### ***Principles for Capital Outlay Program***

In February, Council endorsed and forwarded to Executive Vice President Brostrom and Vice President Lenz a [letter](#) submitted by UCPB outlining principles that should guide the allocation of state general funds for capital projects funded under a new capital outlay process adopted in the 2013-14 state budget.

### ***Enrollment Issues Work Group***

The Senate Chair and Vice Chair and the chairs of BOARS and UCPB participated in a joint Senate-Administration Enrollment Issues Work Group which examined financial challenges associated with long-range enrollment planning and rebenching, as well as options related to the future of the referral guarantee and transfer admission.

## **FACULTY WELFARE ISSUES**

### ***Composite Benefit Rates***

The Council leadership engaged the Office of the Chief Financial Officer (CFO) and other senior managers in ongoing discussions about Composite Benefit Rates (CBRs), various CBR models proposed by UCOP, and their impact on the availability of funds for sponsored research and graduate student support. These discussions culminated in an agreement reached at the May 7 Council of Chancellors meeting. Throughout the year, Senate leaders maintained that the rates originally proposed by UCOP would overcharge faculty summer salaries and grants, in part because UCRP contributions would be assessed against grants or contracts for compensation that is not covered by UCRP. Chair Jacob sent letters to President Napolitano in October and March expressing these concerns. The President responded by asking a joint Senate-Administration Advisory Group to model alternatives. The Advisory Group used data about employee categories, funding sources, and salary/benefits costs to build a model estimating how different CBR plans would shift costs across fund sources in relation to projected actual benefit costs for each, which helped illuminate a fuller range of possibilities for CBRs. The May agreement reflects much of what the Senate sought – more rates that account for a wider variety of employee types, separate rates for faculty on nine-month and summer salary, and added flexibility for campuses to determine the number of rates they use locally.

### ***UC Care***

Council discussed the implementation of UC Care, a new three-tiered “self-funded” Preferred Provider Organization (PPO) medical insurance plan for UC employees that was first offered during Open Enrollment for 2014. In October, Chair Jacob sent a [letter](#) to President Napolitano outlining concerns about a lack of Senate consultation in the development of UC Care as a replacement for some previously offered plans and about gaps in coverage under UC Care for employees at some campus locations and for faculty who regularly travel for extended periods of time for research. UCFW and its Health Care Task Force followed these issues closely, and will be monitoring the cost of UC Care and considering strategies for ensuring that the program provides equivalent options at all campuses in future years.

### ***Total Remuneration Study***

In July, Council reviewed an updated study of UC faculty total remuneration (the combined value of cash compensation, current health and welfare benefits, and retirement benefits) to assess UC's competitive position relative to the "Comparison 8" group of institutions. The study shows that the total remuneration position of UC faculty relative to faculty at the "Comparison 8" has declined since 2009, the time of the last study. Council members agreed that the results of the study should be disseminated widely and presented to the Regents and that the issue should be a high priority for the Senate next year.

## **GRADUATE EDUCATION ISSUES**

### ***Self-Supporting Programs Policy***

The Academic Senate twice reviewed a set of proposed revisions to policies governing self-supporting graduate professional degree programs (SSGPDPs). Council forwarded Senate divisional and committee [comments](#) from the initial review to the Provost in February, and [additional comments](#) based on a new revision in July. Ultimately, Council endorsed the proposed revisions, despite serious misgivings that the proliferation of self-supporting programs risks undermining core academic programs and raising financial barriers to access to professional degree programs. Council's endorsement also rests on the understanding that CCGA will carefully document its reasons for finding that a "compelling case" has been made for each SSGPDP that it approves, and over time will derive principles and criteria from these case-by-case evaluations and codify them in its Handbook and other documents.

### ***Professional Degree Supplemental Tuition Policy***

The Senate reviewed a revised policy for proposing and approving Professional Degree Supplemental Tuition (PDST) and changes to PDST levels, and an accompanying set of Presidential Implementation Protocols for PDSTs. In February, Council sent the Provost [comments](#) from Senate divisions and committees and a letter requesting additional revisions. The letter reflects the substantive concerns expressed by reviewers about onerous reporting requirements, confusion about how to differentiate SSGPDP programs from programs eligible to charge PDST, and philosophical concerns about the impact of high-fee professional and self-supporting programs on access, diversity, and UC's public mission. A revised policy is expected to be distributed for systemwide review in fall 2014.

### ***Doctoral Education Conference***

On April 15, Vice Chair Gilly and Provost Dorr co-chaired a systemwide Doctoral Student Support Conference at UC Irvine that was organized in response to the Regents' request for actionable proposals and cost estimates for increasing the competitiveness of UC's financial support of doctoral graduate students. Conference participants expressed strong support for many ideas, including a proposal to eliminate nonresident supplemental tuition (NRST) charged to students in academic doctoral and MFA programs after the first year. Organizers intend to discuss the NRST issue and other proposals with the Regents in January 2015, after developing some of their operational components more fully and attaching a specific price tag to each.

### ***Degree Approvals***

Council approved a [Master of Applied Economics Degree at UC Los Angeles](#), and per Senate Bylaw 116.C, deferred to the Assembly the approval of a [Master of Finance \(MF\) degree at UC San Diego](#), and a [Master of Public Policy \(MPP\) degree at UC Riverside](#).

## **UNDERGRADUATE EDUCATION ISSUES**

### ***Innovative Learning Technology Initiative***

The Office of the Provost and Senate leadership collaborated on the [Innovative Learning Technology Initiative](#) (ILTI), UC's program to use the \$10 million the Governor asked UC to set aside from its state budget allocation for online learning technologies. Provost Dorr briefed Council regularly about the use of the monies to fund the development of systemwide online courses by UC faculty and a cross-campus online enrollment "hub," as well as a plan to distribute unspent money to campuses to support local online education activities. Council also discussed divisional concerns about cross-campus enrollment related to student privacy, faculty academic freedom, and the allocation of teaching credit, and UCEP Chair Labor briefed Council on UCEP's draft guidelines for systemwide course approvals. ILTI is currently funding 39 systemwide online courses that are available for cross-campus enrollment. UCOP will release a second RFP in the fall to support an additional round of course development, and a \$10 million set-aside for ILTI activities is expected to continue into the foreseeable future.

### ***Blue Ribbon Panel on the Online Instruction Pilot Project***

Council endorsed and forwarded to the Provost the final report of the Blue Ribbon Panel on Evaluation of the Online Instruction Pilot Project (BRP) and a [response from UCEP](#) to the report. The BRP was a special Senate Committee charged with evaluating the commissioned assessment of the Online Instruction Pilot Project (OIPP) by the UC Educational Evaluation Center (UCEC) at UC Santa Barbara. UCEP endorsed the BRP's main findings, and its conclusion that the UCEC's evaluation report did not provide sufficient information about student performance and learning outcomes for an appropriate evaluation of the OIPP program, now known as UC Online Education (UCOE). Council also endorsed UCEP's recommendation that OIPP/UCOE be integrated into the Innovative Learning Technology Initiative (ILTI) and that ILTI be held to a higher standard than OIPP/UCOE for ongoing evaluation. At the end of the year, Council learned that the Provost had combined UCOE and ILTI into a single organization.

### ***Letter to WASC about the Role of WASC at UC Irvine***

At the request of UCEP, Council [forwarded](#) a letter about new mandated measures in the WASC accreditation process from the Irvine Division's Assessment Committee to the WASC Senior College Commission President. The letter expresses concern that some of WASC's new reporting requirements around retention and graduation rates and the "public good" are redundant with the information the university already compiles and submits through existing mechanisms and encroaches on the faculty's prerogative to determine what constitutes "quality" in a degree. It urges against a "one size fits all approach" to reporting for for-profit institutions, and institutions like UC.

## **ADMISSIONS ISSUES**

### ***Transfer Action Team***

BOARS Chair Johnson co-chaired with Student Affairs Vice President Judy Sakaki a Transfer Action Team (TAT), charged by the President with recommending ways to streamline and strengthen the transfer path to UC for California Community College students, increase the transfer graduation rate, and expand UC's reach into a broader range of community colleges. The chairs of UCOPE and UCEP also served on the TAT. Chair Johnson and Vice President Sakaki presented the [final report](#) of the TAT to the Regents in May and also briefed Council about the recommendations on May 28.

### ***Statement on the Importance of Writing at UC***

Council endorsed and forwarded to President Napolitano a joint "[Statement on the Importance of Writing at the University of California](#)" authored by BOARS and UCOPE. The statement references the redesign of the SAT, including changes associated with its writing portion, and notes that UCOPE and BOARS would be assessing the role of the new Essay section in providing guidance about appropriate UC preparation and the evaluation of students applying for admission.

### ***Other BOARS Items***

In November, BOARS submitted a [report](#) to the Regents about the impact of the new freshman eligibility policy implemented for students entering the university in fall 2012 indicating that the changes have allowed campuses to select a group of students who are more diverse and better prepared academically. In July, Chair Jacob forwarded to President Napolitano a [BOARS Statement on the Redesigned SAT Test](#), indicating BOARS' decision to adopt the new SAT as an acceptable admissions exam for 2016 admissions, and to continue requiring the Essay section of the exam.

## **RESEARCH ISSUES**

### ***Challenges in Supporting Multi-campus Research***

In July, Council endorsed a [letter](#) from Chair Jacob to President Napolitano expressing concern about the impact of budget cuts on several systemwide research programs overseen by the Office of Research and Graduate Studies (ORGS). The letter notes that the systemwide research budget has been cut disproportionately to other general cuts for UCOP, and asks UCOP to make a strategic, ongoing commitment to fund systemwide faculty-led research at predictable levels, through the Portfolio Review Group (PRG) process for recommending levels of support for systemwide/multi-campus research and involving robust consultation with faculty from all UC campuses and with relevant systemwide Senate committees to ensure that research priorities are grounded in principles.

### ***Proposed Revisions to the Compendium***

The Senate reviewed a set of proposed revisions to the *Universitywide Review Processes for Academic Programs, Academic Units and Research Units* (the "Compendium"). In June, Council sent a [letter](#) to the Provost summarizing Senate committee and divisional responses. The letter expresses support for the proposed changes to four of the five areas of the Compendium covered in the revision, but requests additional changes to Section V on "Research Units," to clarify the Senate's role in determining which Multicampus Research Program (MRP) proposals receive funding, as well as clearer definitions to clarify the relationship between MRPs and MRUs, describe how they may interact, and provide a rationale for each category of organized research.



### ***Guidelines on University-Industry Relations***

In July, Council sent a letter to the Provost [expressing concern](#) about UCOP's [decision](#) to rescind the 1989 Guidelines on University-Industry Relations, including Section 13, which barred the University from investing directly in companies that commercialize research and technology originating at UC. Council's letter notes that the latter is a substantive policy change with significant implications for faculty and that the Senate was not adequately consulted or invited to review the change, and that a set of proposed replacement guidelines are considerably narrower in scope and leave important issues unaddressed.

### ***CAL ISI Reviews***

UCORP led the Senate's efforts to analyze the external academic reviews of three California Institutes for Science and Innovation (Cal ISIs). Several divisions also participated in the review of one or more Cal ISIs. Council forwarded comments to the Provost and Vice President for Research and Graduate Studies on the external reviews of the [Center for Information Technology Research in the Interest of Society \(CITRIS\)](#); the [California Institute for Information Technology and Telecommunications \(CalIT2\)](#) , and the [California NanoSystems Institute \(CNSI\)](#) .

## **DIVERSITY ISSUES**

### ***Moreno Report***

In October, President Napolitano tasked a special Administration-Senate working group to respond to a report from a panel headed by former California Supreme Court Justice Carlos Moreno, which addressed complaints of racial bias and discrimination affecting UCLA faculty. The Moreno Work Group was co-chaired by Chair Jacob and Provost Dorr and included several other Senate members: Vice Chair Gilly (ex officio), UCAP Chair Green, UCAAD member Nuru-Jeter, and UCPT Chair Lansman. Senate Executive Director Winnacker was also closely involved in efforts to research Senate and campus administrative structures for handling incidents and writing the Work Group's [final report](#). In that report, the Work Group endorses some of the Moreno Report's recommendations for addressing complaints and incidents of discriminatory behavior, including better recordkeeping systems and a central discrimination office on each campus that can serve as a gateway for complaints and that has authority to conduct investigations on a full range of issues affecting students, faculty, and staff. In response, President Napolitano issued a [letter](#) to chancellors requesting that they implement measures recommended in the Work Group report.

### ***Faculty Salary Equity Study***

UCAAD Chair Roxworthy and Vice Provost for Academic Personnel Carlson briefed Council on campus plans for implementing former President Yudof's mandate that campuses define a campus-based methodology for assessing salary equity on the basis of gender and ethnicity, conduct a study at least once before 2015, and develop remediation plans as necessary. At the request of UCAAD, Council sent President Napolitano a [letter](#) conveying UCAAD's concerns about a lack of local Senate involvement in the development of campus-based salary equity studies and/or remediation plans, and asking the President's help in communicating the importance of that involvement to campus leadership.

### ***Proposed Outreach Program to HSIs and TCUs***

Council [endorsed a proposed program](#) that is intended to increase the representation of Chicano/Latinos, American Indians, and Alaska Natives in UC graduate programs. The Hispanic

Serving Institutions (HSIs) & Tribal Colleges and Universities (TCUs) initiative was originally developed by former UCAAD Chair Manuela Martins-Green after Regent Fred Ruiz visited that committee and encouraged UCAAD to consider best practices for increasing faculty diversity.

### ***UCAAD Recommendations for Local Diversity Committee Empowerment***

At the request of UCAAD, Council sent a letter to Senate divisions asking them to review UCAAD's May 2005 best practice [recommendations](#) for increasing the visibility, authority, and status of local diversity committees. UCAAD is concerned that the recommendations have not been implemented to a sufficient degree on some campuses, and that diversity committees and concerns continue to be marginalized.

## **GOVERNANCE**

### ***Senate Bylaw 55***

The Senate reviewed two versions of a San Diego division proposal to amend [Senate Bylaw 55](#) to explicitly permit the Senate members of an academic department to extend advisory voting rights on personnel cases to non-Senate faculty colleagues in that department. The proposal would require approval of the concept by the division, a two-thirds vote of the department's Senate faculty holding the rank of Associate Professor or above, with the non-Senate faculty votes reported separately to the Committee on Academic Personnel, and reconsideration of the privilege after a year if requested by a Senate member of the department. The amendment was intended to address equity and disenfranchisement issues arising from the large and growing number of non-Senate faculty on UC campuses, especially at the medical centers who support UC's teaching mission substantially, but lack the privileges and protections of Senate membership. Council voted not to endorse the amendment, in part because it became clear during the systemwide review that many departments already allow non-Senate faculty to cast advisory votes on personnel cases and report them separately to their CAPs. Instead, Council directed the Chair Jacob to issue a general letter to faculty indicating that the "advisory vote" mechanism is available, if the University Committee on Rules and Jurisdiction (UCRJ) agreed. UCRJ opined that the Senate Bylaws do not prohibit the solicitation and collection of non-Senate advisory votes as long as the mechanism is approved by the Senate members of the unit and the opinions are tabulated and submitted to the CAP separately from the Senate member vote. The chair's [letter](#) was issued in August.

### ***Senate Bylaw 155 – University Committee on Computing and Communications***

A year ago, Council recommended to the Assembly that the University Committee on Computing and Communications (UCCC) be disestablished and parts of its charge reassigned, due to a lack of clarity about its purpose; however, the Assembly instead asked the University Committee on Committees (UCOC) to update UCCC's bylaw (155) to render the committee more directly useful to the Senate and the university. In May, Council approved UCOC's proposed amendment to Bylaw 155 and charged UCOC with populating UCCC for 2014-15, with the understanding that the revised UCCC charge will be placed on the Assembly agenda for final approval next year. Chief Information Officer Andriola also joined Council to discuss the scope of issues on which he wishes to seek advice from a revitalized UCCC and/or other Senate committees.

## **OTHER BRIEFINGS**



***Communications Survey:*** In October, Director of Marketing Communications Jason Simon briefed Council on the results of a survey about perceptions of the University commissioned by UCOP's External Relations and Communications office, which found that both alumni and the general public view the University positively.

***Robinson-Edley Report:*** In November, Associate Vice President of Communications Lynn Tierney briefed Council on a draft of a final report detailing campus implementation actions for the September 2012 "Robinson-Edley" review of policies and practices regarding the University's response to demonstrations and civil disobedience.

***Graduation Indicators:*** In February, Vice President for Institutional Research and Academic Planning Pamela Brown joined Council to present an analysis requested by the Regents of the factors associated with bachelor degree completion and time-to-degree rates.

## **OTHER ISSUES**

### ***UC International Engagement Vision Statement***

In July, Council endorsed and forwarded to President Napolitano a "[UC International Engagement Vision Statement](#)" authored by the University Committee on International Education. The goal of the Statement is to provide the administration with a clear, value-based framework for thinking about international engagement and developing new international initiatives.

### ***UCAF's Public Records Act/Freedom of Information Act Toolkit***

At the request of UCAF, Council forwarded to Senate divisions a "[toolkit](#)" of materials assembled by UCAF to help faculty respond to Public Records Act (PRA) and Freedom of Information Act (FOIA) requests. The toolkit originated at UCLA, but Council agreed the documents would be helpful to faculty on all campuses who face information requests about their research that sometimes include documents and other material that faculty have assumed could remain confidential.

## **REVIEW OF ADMINISTRATIVE PROPOSALS AND INITIATIVES**

The Senate reviewed two formal policy proposals from the administration in addition to those recorded above. In June, Council [expressed support](#) for a set of proposed modifications and the four-year renewal of the Proposed Revised UC Policy on Supplement to Military Pay. Council also expressed [substantial concerns](#) about a set of proposed revisions to UC Policy on Copyright and Fair Use, noting that the policy eliminates the detailed guidance regarding the limits of "Fair Use" and the scope of instructor liability at the university contained in the 1986 policy.

## **REVIEW OF THE ACADEMIC PERSONNEL MANUAL (APM)**

The Senate reviewed several proposed modifications to the Academic Personnel Manual. In February, Council [endorsed](#) a set of proposed revisions to APM 025 (Conflict of Commitment and Outside Activities of Faculty Members) and APM 670 (Health Sciences Compensation Plan); and the proposed new APM 671 (Conflict of Commitment and Outside Professional Activities of HSCP Participants). Council also [endorsed](#) a set of Proposed Revisions to the APM 600 series and

[requested](#) additional changes and clarifications to a set of proposed revisions to APM 035 and the President's Policy on Sexual Harassment and Sexual Violence. Finally, in June Council expressed [substantive concerns](#) about and requested a second round of review of a set of Proposed Revisions to Whistleblower Protection Policy and APM 190 Appendix A2.

## **SENATE POSITIONS ON STATE AND FEDERAL LEGISLATION**

The Senate office sent comments about several bills to UCOP's Issues Management, Policy Analysis & Coordination unit. The position of the Senate on these bills was as follows:

- A Concerned position on SB, 1196 which would require UC to develop and annually report on five year plans to meet attainment goals to be developed by the Governor.
- A Support position on AB 2350, which seeks to increase the number of women in graduate-level academic programs by raising the awareness of pregnancy discrimination and by seeking to protect the rights, under federal Title IX standards, of pregnant graduate students.
- A Neutral position on SB 1200, which calls on UC to develop guidelines for high school computer science courses that satisfy the mathematics (area "c") requirement for UC admission.
- A Neutral position on AB 1764, which would authorize the governing board of a school district that requires more than two courses in mathematics for graduation to award a pupil up to one mathematics course credit for successfully completing an approved computer science course as long as it complies with UC's guidance on "a-g."
- An Oppose position on AB 1834, which would create collective bargaining rights for UC's graduate student researchers.

## **TASK FORCES AND SPECIAL COMMITTEES**

Council members participated on the following task forces and special committees:

- Academic Planning Council
- Academic Planning Council Task Force on International Activities
- California Open Education Resources Council
- Chancellor Review Committees
- Enrollment Issues Work Group
- President's Sexual Violence and Sexual Assault Response Task Force
- Professional Degree Supplemental Tuition Working Group
- Regents Task Force on Divestment in Fossil Fuel
- Search Committee for a new Senate Executive Director
- Senate-Administration Work Group on the Moreno Report
- Total Remuneration Steering Committee
- Transfer Action Team
- UCSF and UCI Chancellor Search Committees

## **RELATIONS WITH OTHER GOVERNING BODIES**

The Board of Regents: The Academic Council Chair and Vice Chair executed their roles as faculty representatives to the Regents throughout the year, acting in an advisory capacity on Regents' Standing Committees, and to the Committee of the Whole.

ICAS: The Senate Chair and Vice Chair and the chairs of BOARS, UCOPE, and UCEP attended meetings of the Intersegmental Committee of the Academic Senates (ICAS), which represents the faculty Senates of the three higher education segments.

## **ACKNOWLEDGEMENTS**

We express our sincere gratitude to all members of the University of California Office of the President for their hard work and productive collaboration with the Academic Senate over the past year. In particular, we thank these senior UC managers who, as consultants to the Academic Council, were vital to our meetings: President Janet Napolitano; Provost and Executive Vice President Aimee Dorr; Executive Vice President-Business Operations Nathan Brostrom; Vice President-Budget and Capital Resources Patrick Lenz, and Vice Provost for Academic Personnel Susan Carlson

William Jacob, Chair  
Mary Gilly, Vice Chair

### **Divisional Chairs:**

Elizabeth Deakin, Berkeley  
Bruno Nachtergaele, Davis  
Peter Krapp, Irvine  
Janice Reiff, Los Angeles  
Ignacio Lopez-Calvo, Merced  
Jose Wudka, Riverside  
Kit Pogliano, San Diego  
Farid Chehab, San Francisco  
Kum-Kum Bhavnani, Santa Barbara  
Joseph Konopelski, Santa Cruz

### **Senate Committee Chairs:**

George Johnson, BOARS  
Donald Mastronarde, CCGA  
Emily Roxworthy, UCAAD  
Harry Green, UCAP  
Timothy Labor, UCEP  
J. Daniel Hare, UCFW  
Robert Clare, UCORP  
Donald Senear, UCPB

### **Council Staff:**

Martha Winnacker, Executive Director  
Todd Giedt, Associate Director  
Michael LaBriola, Principal Policy Analyst  
Clare Sheridan, Principal Policy Analyst

## ACADEMIC COUNCIL SPECIAL COMMITTEE ON LAB ISSUES ANNUAL REPORT 2013-14

### TO THE ASSEMBLY OF THE ACADEMIC SENATE:

#### **Responsibilities and Duties**

The Academic Council Special Committee on Lab Issues (ACSCOLI) was established by the Academic Council to provide regular and broadly-based Senate oversight of UC's relationship with the National Labs – Los Alamos National Laboratory (LANL), Lawrence Berkeley National Lab (LBNL), and Lawrence Livermore National Laboratory (LLNL). In doing so, ACSCOLI confers with and advises the President and the Regents on general policies relating to the National Laboratories, which includes the dispersal of UC's share of net fee monies; and policies that affect the science-management and the quality of science being performed at the labs. ACSCOLI is also concerned with evaluating the benefits of UC's continued participation in management of the labs beyond the time period required by UC's contractual commitments. Academic Council has also charged this special committee with stimulating faculty interaction in research collaboration with the labs by promoting greater intellectual exchange and closer connections between the labs and UC faculty and students, and determining any unmet educational needs that joint collaboration can address. Finally, ACSCOLI identifies UC faculty members with relevant technical expertise for programmatic and personnel reviews, as needed. ACSCOLI also consults with relevant Senate committees on major policy issues affecting relations between UC and the labs. ACSCOLI held two in-person meetings one video conference this year, with the May meeting being held at LLNL.

#### **National Labs Overview**

There has been a great deal of uncertainty with respect to National Laboratory budgets over the past couple of years. In general, federal funding has been reduced at all three National Laboratories. For instance, LBNL, LANL, and LLNL respectively lost \$110M, \$253M, and \$240M over the last two years (when compared to budgets from two years ago). In June 2013, LLNL also executed a voluntary separation program with 399 staff members leaving. While many of these budget slides have been arrested, Laboratory budgets are expected to remain flat going forward.

UC is the prime contractor for the management & operation of Lawrence Berkeley National Laboratory (LBNL). The University is also a partner in the Lawrence Livermore National Security, LLC (LLNS) that manages Lawrence Livermore National Laboratory (LLNL), and a partner in Los Alamos National Security, LLC (LANS), that manages Los Alamos National Laboratory (LANL). Each year, all three DOE-owned National Laboratories are assessed on their performance through a set of performance objectives/categories to determine how much of the DOE-NNSA management fee their respective contractors can earn<sup>1</sup>, and whether the respective Laboratory contract will be extend for another year term.<sup>2</sup> In their 2013 annual assessments, the National Laboratories received between 87% and 94% of the available management fee monies. LBNL received 94% of its available fees (the same as last year); it also received a one-year award term, which extends its contract to 2019). It received an overall score of 3.6 (A-) for S&T; and received an overall score of 3.3 (B+) for management and operations. LANL received 89% of its available fees (up from 80% last year); it did not receive a one year award term extension

---

<sup>1</sup> Each performance objective is worth 20% of the at-risk fee allocation.

<sup>2</sup> To be eligible to earn award term the Laboratory must earn an adjectival score of Very Good or better in four of the five Performance Objectives and receive no adjectival score of Satisfactory or lower in any Performance Objective.

however (the contract-end stays at 2018). LANL received a “satisfactory” grade in security infrastructure, environmental stewardship, and institutional management. LLNL received 87% of its available fees (compared to 88% last year); it also did not receive a one year award term extension either (contract-end stays at 2018). It received a “satisfactory” grade in contractor leadership. All five categories must be “excellent” to receive an award term extension, which is why LLNL and LANL did not receive the award term extensions.

### **National Academy of Sciences Study**

In 2013-14 ACSCOLI continued to closely monitor the NAS study, which examined the relationship between the National Labs and the NNSA. Towards that end, the committee discussed the study in detail at its May meeting at LLNL with Charles Shank, Co-Chair of the NAS Review Committee, and Raymond Jeanloz, from UC Berkeley, who was a member of the NAS Review Committee. Findings from Phase I of the study found evidence of a “broken relationship” between the National Laboratories and the NNSA, and recommended that the reporting and administrative burdens be reduced. Phase II concentrated on the scientific research and engineering being conducted at the Laboratories. Co-Chair Shank related to ACSCOLI that the NAS review committee could not find a moral crisis at the Laboratories, nor were there significant operational changes post-contract. The review committee concluded that there was not a major change in the motivations of the leadership due to the change in the Fee structure. Instead, the review committee found that the problems could be traced back to the level of trust (or mistrust) in the relationship between the National Laboratories and the NNSA, and by extension, the DOE (and not the relationship between the Laboratories and a private entity). This lack of trust translates into expensive transactional oversight costs. There is also a sense that the NNSA is assigning tasks with specific implementation instructions. Congressional language that micromanages tasks at the Labs, in addition to a high rate of turn-over in the DOE site managers has made things worse. This dysfunction has to be replaced by an earned trust by the National Laboratories. Without that, one is faced with entrenched oversight organizations/structures. In part two of the report, the most disturbing finding is the tremendous cost of doing experiments, with much of that being driven by oversight issues. On the whole, members agreed with this assessment, but noted that it will become increasingly important for the University to remain engaged with the National Laboratories in two key areas: 1) Oversight of the quality of the science being conducted; and 2) the “appropriateness” of the National Laboratories’ work.

### **LLNL’s National Ignition Facility**

Over the past several years, ACSCOLI has expressed concern over the National Ignition Facility (NIF), especially federal intervention and micro-management of the facility. In June 2012, ACSCOLI wrote a letter expressing concern over federal management of time-allowances and scheduling of the prescribed shots conducted at the NIF; and in June 2013, ACSCOLI wrote a letter opposing a proposed DOE shot recharge policy. Such a policy would have required that all non- DOE National Nuclear Security Administration (NNSA) users be subject to full cost-recovery on a per-shot (experiment) basis beginning in FY 2014, which would have driven up experimental costs to effectively eliminate most opportunities for fundamental science at the NIF. Partially due to ACSCOLI’s efforts, this recharge policy was rescinded. Reflecting its continued interest in the NIF, ACSCOLI received a presentation on this facility in May 2014. This in-depth presentation included its mission and background; plans to expand the NIF as a user facility for investigatory science; and its progress towards ignition.

### **Lab Fees Research Program & Graduate Fellowships Pilot**

Throughout the 2013-14 year ACSCOLI discussed a possible reorientation of the Lab Fees Research Program (LFRP) competition, which included adding some kind of graduate student and/or post-doctoral fellowship within the program. At its May meeting, ACSCOLI members made a proposal to set aside \$2-3M from some portion of the Lab Fees for direct support to graduate students in the form of competitive fellowships. Members argued that such a fellowship would not only increase UC Laboratory-campus interactions, but also bolster the Laboratories pipeline for future scientists. Coincidentally, in spring 2014, the UC Regents voted to approve a \$400K pilot Fellowship Program from income earned by the University from management of LANL and LLNL. In October 2014, ACSCOLI formally commented on the Office of Lab Management's proposal for this pilot fellowship, suggesting that the campuses should have some input on the definition of the research foci and priorities and that the Laboratories should provide some kind of matching, or partial matching, for the fellowships.

### **Conference Accountability Act of 2014**

In August 2014, ACSCOLI submitted concerns to Academic Council over the proposed Conference Accountability Act of 2014 (S. 1347), which would codify the FY 2013 OMB-imposed 30% restriction on conference travel (from 2010 levels), and would put into statute onerous reporting requirements for any conference costing more than \$50,000 in travel costs per agency. The Act would also prohibit sending more than 50 personnel to any single international conference or spending more than \$500,000 to support or host a scientific conference. ACSCOLI argued that this Act would have a chilling effect on Laboratory attendance at scientific conferences. Given the restricted budgets at the National Laboratories, the numbers of scientists permitted to attend DOE-sponsored conferences would remain limited in order to stay below the approval threshold and avoid the labor involved in the onerous reporting requirements. In addition, the uncertainty associated with travel approvals discourages scientists to such a degree that many are not even seeking permission to attend conferences in the first place. Finally, the travel restrictions already in place have added significant costs to the management of conferences – both in the administrative burdens and the increased travel costs due to late approvals. At the urging of ACSCOLI, Academic Council wrote Senators Barbara Boxer and Diane Feinstein, asking them to vote against this legislation.

### **Other Issues of Concern**

ACSCOLI also engaged with the Office of Laboratory Management on increasing campus/Laboratory interactions, joint faculty appointments, the Laboratory Fee structure, and governance of the Laboratories.

### **Acknowledgements**

ACSCOLI wishes to acknowledge the contributions of its principal consultants – Glenn Mara, (outgoing) Vice President of Laboratory Management; Kimberly Budil (incoming) Vice President of Laboratory Management, Steven Beckwith, Vice President of the Office of Research & Graduate Studies; David McCallen, Associate Vice President, Laboratory Programs; John H. Birely; Anita Gursahani, Associate Vice President, Laboratory Operations & Administration; Norman Hamill, Office of General Counsel; Mary Croughan, Executive Director, Research Grants Programs & Operations; Kathleen Erwin, Director, UC Research Initiatives; and Ray Miskelley, Executive Director, Contracts, Business & Finance, Laboratory Operations.

Respectfully submitted:

|  |  |
|--|--|
| Mary Gilly, Chair (Academic Council Vice Chair)    | Steven Glaser (UCB)                            |
| William Jacob, Vice Chair (Academic Council Chair) | Darrell Long (UCSC)                            |
| Robert Powell, Past Chair, 2011-2012               | Harold Monbouquette (UCLA)                     |
| Robert Clare (UCORP Chair)                         | Michael Todd (UCSD)                            |
| Bernard Sadoulet (UCPB Representative)             | Harry Tom (UCR)                                |
| Ram Seshadri (UCSB)                                | Todd Giedt (Senate Associate Director/Analyst) |

## **UNIVERSITY COMMITTEE ON ACADEMIC FREEDOM (UCAF)**

### **2013-2014 ANNUAL REPORT**

#### **TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

The University Committee on Academic Freedom (UCAF) met once in Academic Year 2013-2014 to conduct business with respect to its duties as outlined in Senate Bylaw 130. Highlights of the Committee's activities and accomplishments are noted in this report.

#### **Faculty Control of the Curriculum**

UCAF discussed faculty control of the curriculum specifically as it related to the accreditation process at UC Merced. UCAF members agreed to send a letter to the Chair of the UC Merced Academic Council about the potential erosion of faculty control of the educational curriculum and accompanying threats to academic freedom. The committee asserts that potential risks to academic freedom and faculty control of the curriculum may be a consequence of implementation of the programs designed to respond to WASC's criteria. The memo cited concerns about requirements that could have the unintended consequence of discouraging faculty members from offering courses that challenge or interrogate the foundations of their discipline. In light of the growing role of learning assessment and its related bureaucracy at various UC campuses, UCAF wished to reiterate that faculty control of the curriculum and academic freedom are not only crucial elements of shared governance, but also the cornerstones of the UC's educational excellence at both the undergraduate and graduate levels.

In the memo, the committee cautioned that UC must be wary of one-size-fits-all schemes that seek to standardize or routinize the way in which faculty educate UC students, whether imposed internally or externally by WASC. In order to ensure that UC's strengths as a research university and its commitment to academic freedom continue to inform the education it delivers to its students, UCAF urged that local senate Academic Freedom committees be given the opportunity to assume a leading role in reviewing any measures, including learning assessment, that might potentially affect faculty control over the curriculum or the rights of individual faculty members to design and teach courses in their area of specialty. To date, UCAF has not received a response from the UC Merced Senate Chair.

#### **Moreno Report**

In 2012, UCLA's Chancellor asked former California Supreme Court Justice Carlos Moreno to chair an external panel of academic and community members to review incidents of racial and ethnic bias and discrimination experienced by faculty. The review, which was launched after Chancellor Gene D. Block was approached by a group of concerned faculty, found that university policies regarding racial bias and discrimination were vague and insufficient. It found that the university's procedures for addressing such complaints were practically nonexistent and that the university had "failed to adequately record, investigate, or provide for disciplinary sanctions for incidents which, if substantiated, would constitute violations of university nondiscrimination policy." UCLA faculty members and administrators served on the Moreno Report Implementation Committee which was established as a response to the report's important recommendations. In the coming year, UCAF anticipates reviewing the proposed response to the report and will identify and call attention to any problems related to academic freedom.

#### **Toolkit for Public Records Act/Freedom of Information Act Requests**

A committee at UCLA was charged with developing a "toolkit" for faculty and administrators who received Public Records Act (PRA) or Freedom of Information Act (FOIA) requests. During its March 2013 meeting, UCAF reviewed a draft of the documents this committee had prepared and in February 2014 members were asked to distribute the finalized packet of materials to relevant and interested parties at their campuses.



At its April 2 meeting, the Academic Council was briefed on the toolkit and agreed that the documents would be helpful to faculty on all campuses who face requests for information about their research that sometimes ask for documents and other material that faculty have assumed could remain confidential. Council agreed to help disseminate these materials to the divisions. The materials in the toolkit are also available as links on the UCLA Academic Personnel Office website:

Faculty Resource Guide for California Public Records Request

<https://www.apo.ucla.edu/resources/recordrequest>

Statement on the Principles of Scholarly Research and Public Records Requests

<https://www.apo.ucla.edu/resources/academic-freedom>

### **Animal Rights Extremists and Research at UC**

For the past several years, UCAF has discussed the issue of violent attacks against UC researchers. In April 2012, UCAF's "[Statement in Support of Faculty Harassed by Opponents of their Research](#)" was endorsed by the Academic Council and subsequently forwarded to former UC President Yudof. In spite of statements of support for those who use animals in biological research, it is clear that these statements have not had much impact. The arrival of President Napolitano prompted UCAF to renew its effort to get the central administration of the University engaged in this matter on an ongoing basis. In May, UCAF forwarded to Academic Senate Chair Jacob a report developed by a UCLA task force in 2006 that contains a series of recommendations for confronting animal extremism which UCAF members feel provide an excellent basis on which future plans for action could be developed. UCAF takes the firm stance that no faculty should face this burden without the full support of the university and their peers. However, to date, no further progress has been made on this matter.

### **Other Issues and Additional Business**

In response to requests for formal comment from the Academic Council, UCAF also issued views on the following:

- APM 035

Finally, UCAF devoted part of each regular meeting to reports on issues facing local committees.

Respectfully submitted,

Cameron Gundersen, Chair (LA)

Marco Iacoboni (LA)

Moradewun Adejunmot (D)

David Steigmann (B)

Ronald Glass (SC)

Harold Pashler (SD)

Stanley Awramik, Vice Chair (SB)

Thuan Le (SF)

Hugh Roberts (I)

Sean Malloy (M)

Kathleen Montgomery (R)

Bill Jacob ((SB); Chair, Academic Senate, *Ex Officio*)

Mary Gilly ((I); Vice Chair, Academic Senate, *Ex Officio*)

Brenda Abrams, Committee Analyst

**UNIVERSITY COMMITTEE  
ON  
ACADEMIC PERSONNEL**

**2013-2014 ANNUAL REPORT**

**TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

The University Committee on Academic Personnel (UCAP) had three meetings during the Academic Year 2013-2014 to conduct business with respect to its duties as outlined in Senate Bylaw 135 to consider general policy on academic personnel, including salary scales, appointments and promotions, and related matters. The issues that UCAP considered this year are described briefly as follows:

**Moreno Report**

In 2012, UCLA's Chancellor asked former California Supreme Court Justice Carlos Moreno to chair an external panel of academic and community members to review incidents of racial and ethnic bias and discrimination experienced by faculty. The review, launched after Chancellor Gene D. Block was approached by a group of concerned faculty, found that university policies regarding racial bias and discrimination were vague and insufficient. It found that the university's procedures for addressing such complaints were practically nonexistent and that the university had "failed to adequately record, investigate, or provide for disciplinary sanctions for incidents which, if substantiated, would constitute violations of university nondiscrimination policy."

On October 25, 2013, President Napolitano charged Provost Dorr and Academic Council Chair Jacob with forming a joint Senate-Administration Work Group regarding the Moreno Report. Chair Green was a member of the workgroup which also included the Chair of UCP&T, and the UCB representative to UCAAD. The [Work Group's report](#) addressed the president's three charges and was submitted to the President, Academic Council, and Chancellors by the end of December. The President and working group identified a set of five measures that will ensure the campuses are addressing incidents of discrimination, bias, or harassment in a robust, fair, and transparent manner. The Chancellors were given latitude to create their own campus structures for responding to reports of harassment and discrimination. UCAP will monitor the implementation of the recommendations in the coming year.

**Senate Bylaw 55**

Last year the majority of UCAP members opposed a UCSD proposal to allow departments to give the vote to certain groups of non-Senate faculty so they may vote equally with Senate faculty on merits, promotions, and hiring. Council considered feedback from UCAP and the Committee on Faculty Welfare and decided to issue this proposal for a systemwide review in October. The committee voted seven to five in favor of this proposal in October. In the meanwhile, UCSD revised its proposal and, in February, Council agreed to conduct a second review of two alternative versions before deciding whether or not to put the amendment forward to the Assembly as legislation. One version of the proposal addresses only the medical school and the other addresses the entire campus. The key issue is that the votes by Senate and non-Senate voters will not be comingled, but separated out and identified. UCAP members considered the factor that there are some units where non-Senate faculty are approximately 70% of the faculty, which is one of the arguments against revising the bylaw. The committee also considered the argument in support of the change which is that it will give the non-Senate faculty a stamp of approval. UCAP members recognized the flexibility that SB 55 currently affords departments as well as the potential need for a set of core principles that will be consistent across the CAPs. The committee reviewed the two proposals in March and voted in support of both.

**Other Issues and Additional Business**

In response to requests for formal comment from the Academic Council, UCAP submitted views on the following:

- APM 600
- Proposed Revisions to APMs 025, 670 and 671
- Proposed Revisions to APM 035 Appendices A-1 & A-2
- Proposed Revision to APM-190, Appendix A-2

**Campus Reports**

UCAP devoted part of each regular meeting to discussion of issues facing local committees and comparison of individual campus practices

**UCAP Representation**

UCAP Chair Harry Green represented the Committee at meetings of the Academic Council and the Assembly of the Academic Senate. He also served on the Provost's Academic Planning Council.

**Committee Consultations and Acknowledgements**

UCAP benefited from regular consultation and reports from Susan Carlson, Vice Provost, Academic Personnel and Janet Lockwood, Manager-Academic Policy and Compensation, Academic Personnel. UCAP occasionally consulted the Academic Senate Chair Bill Jacob and Vice Chair Mary Gilly about issues facing the Senate and UC, and the Senate Executive Director Martha Winnacker about Senate office procedures and committee business. President Napolitano was invited to the UCAP meeting in January and again in June but in both cases her duties as president prevented her from attending.

Respectfully submittedP

Harry Green, Chair (R)  
Shannon Jackson (B)  
Michael Stenstrom (LA)  
Christina Ravelo (SC)  
Jean-Luc Gaudiot (I)  
Jang-Ting Guo (R)

Alan Terricciano, Vice Chair (I)  
Myrl Hendershott (SD)  
James Jones (D)  
Mary Hancock (SB)  
David Kelly (M)  
Lynn Pulliam (SF)

William Jacob ((SB); Chair, Academic Senate, *Ex Officio*), Mary Gilly ((I); Vice Chair, Academic Senate, *Ex Officio*) Brenda Abrams, Principal Policy Analyst

**University Committee on Affirmative Action and Diversity (UCAAD)  
Annual Report 2012-13**

**TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

The University Committee on Affirmative Action and Diversity (UCAAD) met four times in person and one time via teleconference during the 2012-13 academic year. In accordance with its duties as outlined in Senate Bylaw 140, UCAAD considered policies related to staff, faculty, and student diversity, as well as statistical data and other measures for successful implementation of those policies.

At the first meeting of the year (October 18<sup>th</sup>), the committee set forth a series of objectives for 2012-2013. Below is a summary of some of the accomplishments and some of the issues the committee handled over the past year.

**Negotiated Salary Plan Trial Program**

In November, UCAAD responded to the Academic Council regarding the Negotiated Salary Plan Trial Program. The committee expressed concerns about the possibly ambiguous basis for proposal endorsement. It felt that this lack of specificity left room for potential bias. UCAAD noted that the UCLA Public Health program of “delta requests” allowed for more competitive salaries and seemed to provide equal advantage to URM faculty. The committee also felt the the Negotiated Salary Plan Trial Program may not be the ideal vehicle for faculty retention. If it were to be adopted, it should include specific and explicit language with regard to equity.

**Appointment of a UCAAD Liaison to BOARS**

In October, UCAAD approached the Senate with the suggestion that it provide a committee liaison to BOARS; this suggestion was originally put forth by Vice Chair Jacob in the context of holistic review and student diversity. The committee felt that such a connection would provide a means for regular consultation between the two committees. UCAAD Vice Chair Emily Roxworthy agreed to serve as liaison.

**Analysis of UC Pay Equity Study**

Along with UCAP and UCFW, UCAAD reviewed the Pay Equity Study Plans submitted by the campuses. Overall, members expressed surprise at the lack of data analysis and implementation strategies in most of the plans. The Academic Council, having received similar messages from the other two committees, wrote a letter to the Vice Provost suggesting that a set of metrics be developed that would provide a consistent approach and allow for comparative analysis.

**ADVANCE PAID**

UC ADVANCE PAID is a program sponsored by the National Science Foundation to recruit, retain, and advance female faculty in the fields of science, technology, engineering, and mathematics. The Office of the President has been using the program funding to gather and analyze data that will explain the continued shortage of women and underrepresented minorities hired for faculty positions at UC. In 2012-13, the program hosted 2 day-long roundtables: one at UCI (Building Capacity for Institutional Transformation in the 21st Century: Women of Color in STEM and SBS Fields) and the other at UCR (Mentoring Faculty in an Inclusive Climate: Supporting Women and URM STEM Faculty at UC). Several members of UCAAD attended these workshops, and Chair Martins-Green was a member of the executive committee for the ADVANCE proposal.

### **Faculty Diversity Work Group Recommendations**

The Faculty Diversity Work Group, a small body appointed by the President's Climate Council, forwarded its report and recommendations a year ago that were distributed for systemwide consultation. In December 2012, the working group assembled all responses and submitted a prioritized list for the Council to consider. UCAAD supported the workgroup's recommendations but also proposed expansion in some areas, particularly accountability. In June 2013, UCAAD submitted a letter to the Academic Council reiterating its support for the workgroup recommendations, with special emphasis on particular items. [June\MMG Diversity Endorsement Letter - FINAL.pdf](#) The Council approved the letter with one abstention, and forwarded it to the President.

### **APM 210.1.d**

Throughout the course of the year, UCAAD and UCAP worked together to improve the efficacy of APM 210.1.d. This discussion was an outgrowth of complaints from several faculty members who argued that research in diversity is not given the same value as other types of research at UC. After extensive back-and-forth, the committees agreed on the language except for one specific aspect hence each committee submitted its own verbiage to the Academic Council. The Academic Council then reviewed both languages and was able to reach a consensus. The new language of APM 210.1-d was then forwarded to Provost Dorr for her consideration to send the new APM 210.1-d out for review by the divisions the coming year. UCAAD also felt strongly that the change to APM 210.1.d should be substantiated by a white paper that would underscore the importance of contributions to diversity. UCAP was approached by UCAAD to co-author such a paper, but declined. The committee agreed that UCAAD would continue this effort into next year.

### **Faculty Mentorship**

In response to a presentation from Director Sheila O'Rourke of the President's Post-Doctoral Fellowship Program, UCAAD began to develop a white paper that would offer a framework for mentoring that the campuses could adapt for their individual constituencies. Outgoing Chair Martins-Green will continue this work in collaboration with Director Sheila O'Rourke during this coming year.

### **UC Campus Climate Survey**

The University had tremendous response to the Campus Climate Survey. Close to 150,000 complete surveys were returned, with a high percentage of faculty response. Each campus will receive a draft report and will be able to respond and provide context for its outcomes. Systemwide findings will be given to the campuses in November, and the comprehensive survey results will be presented at the January 2014 Regents' meeting. Ultimately, all of the information will be public and available online. The President's Advisory Council on Campus Climate has been suspended until the new president determines how to use the survey data. Although UCAAD was not consulted in preparing the Campus Climate Survey, the committee looks forward to reviewing the data as it relates to equity, diversity, and inclusion.

### **President's Postdoctoral Fellowship Program**

During Academic Council meetings throughout the year, UCAAD Chair Martins-Green strongly advocated the need to increase support for the Presidential Post-Doctoral Fellowship Program. The President has committed one-time money to specifically fund a large group of STEM fellows. The University will have 60 fellowships next year; heretofore, it has never had more than 45. The Vice Provost Susan Carlson has requested that this additional funding become a permanent part of the program.

### **Regents' Fellowship Proposal**

At UCAAD's invitation, Regent Fred Ruiz attended the April 18 committee meeting. During his visit, Chair Martins-Green made an extensive presentation on a number of tactics and approaches to improve UC diversity, particularly of graduate students and faculty. In response to the presentation, Regent Ruiz asked the committee to develop language for a Regents' fellowship specifically to increase and build diversity in the UC teaching pipeline. In consultation with Director of Graduate Studies Pamela Jennings, UCAAD discussed some possible strategies and goals in developing the fellowship. Chair Martins-Green has worked with Ms. Jennings during the summer to prepare a document that describes a Hispanic Serving Institution Initiative that includes a Regent's Fellowship component. This document has been reviewed at UCOP to ensure that it conforms to proposition 209 requirements; it will be first sent out to the current committee for comments and then forwarded to incoming chair Emily Roxworthy for discussion with the incoming UCAAD committee, consultation with CCGA and then will be forwarded to the Academic Council.

### **Acknowledgements**

UCAAD is grateful to have had valuable input from and exchange with these UCOP and campus consultants and guests over the past year: Regent Fred Ruiz, Provost Aimée Dorr, Vice Provost Susan Carlson, Diversity Coordinator Jesse Bernal, Academic Policy and Compensation Manager Janet Lockwood, Director of Graduate Studies Pamela Jennings, President's Post-Doctoral Fellowship Program Director Sheila O'Rourke, Academic Personnel Executive Director Nancy Tanaka, Administrative Coordinator Kate Jeffery, and UCB Vice Chancellor of Equity and Inclusion Gibor Basri. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCAAD meetings throughout the year. A special thanks to Martha Winnacker who stepped in to assist the committee during a difficult time and to Fredye Harms who quickly took over the duties of committee analyst Eric Zarate in the middle of the year.

## **BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS) ANNUAL REPORT 2013-14**

### **TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

The Board of Admissions and Relations with Schools (BOARS) met ten times in Academic Year 2013-14 to conduct business with respect to its duties as outlined in [Senate Bylaw 145](#), to advise the President and Senate agencies on the admission of undergraduate students and the criteria for undergraduate status. The BOARS chair also charged two subcommittees – Enrollment Issues, and Articulation and Evaluation – with reporting to the parent committee about specific topics. The major activities of BOARS and its subcommittees, and the issues they addressed this year are outlined briefly, as follows:

### **REPORT TO THE REGENTS ON NEW ADMISSIONS POLICY**

In November, BOARS submitted a [report](#) to the Regents about the impact of the new freshman eligibility policy implemented for students entering the university in fall 2012. The report notes that the “9-by-9” policy has removed unnecessary barriers, broadened access to California students, and allowed campuses to select a group of students who are more diverse and better prepared academically. It cites evidence that students who began at UC in fall 2012 have higher average first-term GPAs and retention rates and lower average probation rates compared to freshmen who were selected under the old policy and began in 2010 or 2011; that an increasing percentage of California high school graduates from underrepresented minority groups declared their intent to register at a UC campus between 2010 and 2013; and that more students are applying to UC now than under the old policy, suggesting that the expansion of ELC and the introduction of ETR have removed some of the barriers that may have discouraged students previously.

The report also expresses concern about evidence indicating that students admitted to UC through the ELC and ETR paths have poorer overall probation and persistence outcomes. It notes that broader demographic and economic changes and the transition to a single score individualized review admissions process that four UC campuses implemented simultaneous to the new policy make it difficult to attribute any academic or diversity outcome to the policy change definitively. Finally, the report anticipates an adjustment to the 9x9 eligibility construct BOARS would propose several months later, warning that the policy has overshot its original target for guaranteed students and that UC’s referral system is facing significant challenges that must be addressed to maintain UC’s Master Plan commitment to California residents.

### **FRESHMAN ELIGIBILITY AND REFERRAL**

- ***Proposal to Adjust the UC Eligibility Construct from 9x9 to 7x7***

When BOARS developed its eligibility reform policy, it projected incorrectly that the students in the 9% Eligibility in the Local Context (ELC) group and the 9% statewide group would combine to provide an admissions guarantee to approximately 10% of California public high school graduates. BOARS recognized the miscalculation in 2012, after UC admitted 12.1% of public high school graduates who met one or both of the 9x9 guarantees. BOARS also noticed that the referral pool was growing too large to be managed easily over the long-term. During the year BOARS explored solutions that would more accurately meet the 10% policy target and reduce the referral pool while maintaining the guarantee. After analyzing projections about the admissions patterns and the UC performance of students under a variety of scenarios, BOARS



voted to recommend an adjustment to the “9x9” eligibility construct to one that offers a guarantee of admission to the top 7% of high school students in each California high school and to the top 7% of students according to a statewide index, in order to more accurately meet the 10% policy target, and to reduce pressure on the referral pool. BOARS also approved a proposed methodology for calculating the percentage of “top” public high school students who are likely apply to UC, using ELC benchmarking information reported by high schools, to help in the construction of a new statewide eligibility index that will meet the 10% target. The “7x7” proposal will be circulated for systemwide Senate review in the fall.

- ***Proposed SAT Minimum for ELC***

BOARS considered, but rejected, a recommendation from its Enrollment Issues Subcommittee to require a minimum 1400 SAT score for Eligibility in the Local Context. The subcommittee recommended the change after reviewing data suggesting that an SAT score below 1400 is the approximate point at which students are much more likely to earn less than a “C” during the first year at UC, have higher probation rates, lower cumulative GPAs, lower retention rates, and lower graduation rates, compared to students with higher SAT scores. BOARS considered the argument that establishing a minimum SAT benchmark for ELC eligibility would help increase the likelihood of success, reduce UC’s referral pool, and remove from the referral pool many of the weakest students who are most likely to accept a referral offer, but decided that at least for now the ELC determination should continue to be based solely on weighted/capped GPA.

- ***Future of the Referral Guarantee***

BOARS discussed at length the capacity of the UC system to accept more students. As capacity decreases, and Merced, the only campus taking referral students, becomes more selective, the UC system may no longer be able to offer a guarantee of referral admission to every student defined as eligible for one through the “9-by-9” process. UC will cease to have “available space,” per [Regent’s Policy 2103](#), for students who are not admitted to a campus to which they apply. While BOARS is confident that the adjustment to 7x7 will address the need to align the guarantee pool with the policy target and reduce the referral pool, it does not believe that moving to 7x7 will fully address the ongoing challenges of space. Indeed, the university may be in a similar position again in a few years, particularly if enrollment pressures increase and the state fails to provide additional funding for enrollment. BOARS believes that UC will have to consider options for adjusting eligibility policy again and perhaps reconsider the referral concept. In fact, a minority of BOARS members spoke in support of eliminating “eligibility” and the guarantee concept and moving to a system in which all students are selected through comprehensive review. Indeed, this was BOARS’ original proposal for eligibility reform in 2008, which the Senate rejected. BOARS also acknowledges that ELC is a high value program for UC that obligates the university to recognize the best students in all California high schools, including those from lower performing high schools. BOARS will be monitoring these issues closely going forward.

- ***Senate Regulation 465***

BOARS considered, but rejected, a proposal to revise [Senate Regulation 465](#) dealing with the admission of UC-eligible applicants, to align with language in [Regents’ Policy 2103 C](#) by clearly qualifying the guarantee of referral admission described in SR 465 as valid only if space is available. BOARS asked the University Committee on Rules and Jurisdiction to advise BOARS about the extent to which it is within the Senate’s jurisdiction to define how eligible students will be treated in admission. UCRJ confirmed that it would be within BOARS’ jurisdiction to recommend changes to SR 465 and appropriate for Senate regulations to include language



defining how eligible students will be treated in admission; however, BOARS decided not to pursue the change.

## **TRANSFER ADMISSION**

BOARS helped lead UC's response to a range of issues and concerns about community college transfer.

- ***Transfer Action Team***

Chair Johnson co-chaired with Vice President for Student Affairs Judy Sakaki a Transfer Action Team charged by the President with recommending ways to strengthen and streamline the transfer path, increase the transfer graduation rate, and expand UC's reach into a broader range of community colleges. He and Vice President Sakaki presented the [final report](#) to the Regents in May. It recommends upgrading UC's transfer message with a new communications and technology strategy; creating a stronger presence at every California community college to promote interest in transfer among a geographically, ethnically, and socio-economically diverse student body; upgrading support services to help transfers transition to and succeed at UC; and reaffirming UC's commitment to transfer students by engaging every campus to meet the Master Plan's 2:1 freshman-to transfer target. The report also recommends building on previous efforts to align lower division requirements for specific majors across UC campuses to enable potential transfer students to prepare for more than one UC simultaneously, and also aligning when possible, UC's major requirements with the Transfer Model Curricula developed by CCC/CSU for the Associate Degrees for Transfer. Finally, the report makes clear that UC cannot increase transfer enrollments at the expense of freshmen nor without additional state funding.

- ***Implementation of Transfer Policy***

BOARS representatives updated BOARS about campus efforts to implement the new transfer admissions pathways scheduled to take effect in 2015 – including their efforts to review existing lower-division transfer requirements and pathways in comparison to the CCC/CSU Transfer Model Curricula (TMC), define UC Transfer Curricula for appropriate majors, and examine the extent to which majors are aligning lower division major preparation requirements across campuses and with the corresponding TMCs.

- ***Universitylink***

In November, BOARS approved Universitylink, a UC San Diego program that gives transfer admission preference to low-income transfer students at nine designated San Diego area community colleges who fulfill specific academic requirements. The program responds to the reality that some community college students, especially low income students, view their local UC as the only viable transfer option due to work or family obligations that tie them to a community.

- ***Comprehensive Review Criteria for Transfers***

In December, BOARS added a new comprehensive review criterion for transfer students to the [Guidelines for Implementation of University Policy on Undergraduate Admission](#). It recognizes students who are on track to complete an associate of arts or science transfer degree offered by a California community college. The language will help put into operation the new transfer pathway in Senate Regulation 476 and ensure that admissions staff value the degrees appropriately when they are selecting applicants.

## **STATEMENT ON THE IMPORTANCE OF WRITING**

The chairs and vice chairs of BOARS and the University Committee on Preparatory Education (UCOPE) drafted a “[Statement on the Importance of Writing at the University of California](#),” which references the redesign of the SAT, taking effect for 2016 admissions, and changes associated with the writing portion of the exam. The Academic Council endorsed the Statement at its April meeting and forwarded it to the President.

## **REDESIGNED SAT**

In early June, three representatives from the College Board joined BOARS to discuss the [redesign of the SAT](#). BOARS also reviewed an updated UCOP study which confirmed an earlier finding that the SAT writing section, which includes an essay, is one of the best predictors of first-year UC GPA. Later in June BOARS voted unanimously to adopt the redesigned SAT as an acceptable admissions exam for 2016 admissions, and to continue requiring the Essay section of the exam. A [letter](#) articulating the decision was sent to Chair Jacob and forwarded to the President. In general, BOARS believes that the new SAT meets its objectives and principles for admissions tests and will be an improvement over the current exam to the extent that it aligns more closely with high school curriculum and college-level expectations than the existing SAT, one of the principles that BOARS articulated in its January 2002 [Testing Principles](#). BOARS also agreed that by continuing to require the Essay section for admission to UC, the university will send a strong message that writing, and specifically the essay form, is important for college-level work. BOARS will be monitoring the predictive validity of the Essay section and studying the extent to which the new test meets BOARS’ goals and principles for admissions tests.

## **NONRESIDENT ADMISSIONS**

BOARS continued to monitor the extent to which campuses are meeting BOARS’ June 2011 [policy](#) that non-residents admitted to a campus must “compare favorably” to California residents admitted to that campus. BOARS’ [evaluation procedures](#) ask campuses to report annually on the extent to which they are meeting the standard. The nine undergraduate campuses submitted their nonresident “compare favorably” reports to BOARS for the 2013 admissions cycle, and in April, BOARS issued a systemwide [report](#) discussing the variety of approaches campuses used to analyze their admissions, enrollment, and UC performance data, which indicated that all are admitting nonresident students who compare favorably to residents. BOARS also noted the difficulty of making a true comparison between residents and nonresidents, based on narrow academic indicators and in the absence of equivalent local context and achievement information for both applicant groups.

## **MATHEMATICS PREPARATION**

In December, BOARS added a [cover letter](#) to its July 2013 [Statement on Basic Math](#), which clarifies the position taken in the statement in relation to alternative quantitative transfer course prerequisites and courses. The cover letter notes that the statement is not intended to encourage or discourage alternative pathways, but to ensure that the content of quantitative UC-transferrable courses is linked to college readiness standards of the Common Core State Standards for Mathematics (CCSSM).

## **HONORS POLICY**

BOARS approved four policy changes associated with UC-approved high school-created “a-g” honors courses that are eligible to receive a one point GPA “bump.” The changes do the following:

1. Remove all limits on the number of school-created honors courses that may be approved for the bump.
2. Allow any qualified school-created honors courses to be eligible for the bump in the college-preparatory elective (“g”) area.
3. Require high schools to offer a non-honors equivalent only at the same frequency, rather than *simultaneously* with the school-created honors course in the same subject area.
4. Extend eligibility for the bump to qualified school-created honors courses offered in 10<sup>th</sup> grade, in addition to those offered at the 11<sup>th</sup> and 12<sup>th</sup> grade-levels.

### **ENTRANCE REQUIREMENTS FOR MAJORS**

BOARS was asked to consider instances in which departments or colleges set conditions for freshman admission to a specific major – including a minimum SAT score – in addition to those required for admission to the general campus, during later stages of holistic review. BOARS concluded that it is consistent with systemwide comprehensive review policy to use a supplemental holistic review of applicants with low test scores, but that a single academic indicator cannot be used to admit a student into a major or redirect them to an alternate major.

### **AP, IB, AND OTHER PRE-UC UNITS AWARDED TO INCOMING FRESHMEN**

BOARS reviewed data showing a recent increase in the number of Honors/AP units brought to UC by enrolled freshmen and the disproportionate and growing variation in the average number of units by ethnic background and high school API ranking. BOARS discussed the possibility of establishing a cap on the number of Honors/AP units students can bring with them and of eliminating or reducing the GPA bonus (“bump”) that provides extra points in the GPA calculation for completion of AP and UC-certified Honors courses. BOARS made no decision, but it plans to study the issue further next year.

### **JOINT MEETINGS**

- ***February 7 Meeting with Legislative Staff in Sacramento***

For the second year in a row, BOARS traveled to Sacramento for its February meeting to give the committee a chance to discuss admissions topics with staff from the legislature, the Governor’s office, and the Department of Finance. The half-day session at the UC Center in Sacramento touched on the new admissions policy, nonresident admissions, the Transfer Action Team recommendations, and the future of the referral pool and the admissions guarantee.

- ***June 27 Meeting with the UC Admissions Directors***

In June, BOARS hosted its annual half-day joint meeting at UCOP with the UC campus admissions directors. BOARS and the directors discussed the ongoing transition to the new admissions policy, outcomes from the policy, views and concerns about the implementation plan for the new transfer admissions policy, non-resident enrollment, financial challenges, recruitment and outreach efforts of residents and non-residents, and future options for meeting the referral guarantee.

### **BOARS ARTICULATION AND EVALUATION (A&E) SUBCOMMITTEE**

The A&E Subcommittee (*Ralph Aldredge (chair), Henry Sanchez, Robert Cooper, Vickie Scott, June Gordon, Charles Thorpe, and Monica Lin*) was charged with reviewing issues around high school preparation, the “a-g” requirements, and selected courses submitted for “a-g” approval where faculty input is required. The Subcommittee met monthly during regular BOARS meetings and held additional conference calls to conduct business. It provided input into four

proposed policy changes related to honors courses, discussed alternative transfer math course prerequisites and alternative transferrable courses intended for non-STEM majors, and approved proposed revisions to [“program status” policy](#) intended to clarify and streamline the criteria and review procedures for organizations applying for program status.

### **BOARS ENROLLMENT ISSUES SUBCOMMITTEE**

The Enrollment Issues Subcommittee (*George Johnson (chair), Lynn Huntsinger, Patrick Farrell, Jack Vevea, Mindy Marks, Lee Bardwell, Stephen Handel, and Michael Treviño*) met monthly during regular BOARS meetings. The Subcommittee led the effort to review options for adjusting the statewide admissions index to align UC admissions outcomes and the guarantee pool with Master Plan expectations, and related projected outcomes and effects on different populations of students. It also analyzed first-year UC probation, persistence, and GPA outcomes against high school GPA and SAT scores and recommended a minimum SAT 1400 for Eligibility in the Local Context as a working model.

### **RESPONDING TO LEGISLATION**

On behalf of BOARS, Chair Johnson sent the Academic Senate legislative analyst views on several proposed state bills, including several intended to encourage students to take more computer science courses in high school and to increase the recognition of those courses in college admission. Chair Johnson and Associate Vice President Handel also testified at a November 12, 2013 State Assembly Higher Education Committee hearing on transfer admission.

### **OTHER BUSINESS AND BRIEFINGS**

- **Treatment of Magnet Schools in the ELC Program:** BOARS agreed that UC should eliminate the practice of calculating separate 9% ELC benchmarks for students enrolled in individual magnet programs operating within high schools, and instead use a common ELC benchmark for all students within a school.
- **Virtual Schools and ELC:** BOARS considered a proposal to allow online (“virtual”) high school providers to participate in the Eligibility in the Local Context (ELC) program, but decided that virtual schools are by nature, not “local,” and do not fit into the ELC model.
- **Program Status Policy:** On the advice of the Articulation and Evaluation Subcommittee, BOARS approved policy revisions to the review procedures for organizations applying for “program status.”
- **UCSD Tribal Membership and Admissions Proposal:** BOARS reviewed a UCSD proposal for expanding the definition of membership in federally-recognized tribes in the context of comprehensive review procedures for admission. BOARS asked the Office of General Counsel for a legal opinion on the parameters of the “political affiliation” exception to Proposition 209 that allows the University to consider tribal membership in considering applications for admission. OGC indicated that it would respond early in the next academic year.
- **Computer Science:** BOARS discussed efforts by organizations that want to expand Computer Science (CS) education and access in high schools and are seeking UC’s recognition of such courses as satisfying a subject requirement other than the college-preparatory elective (“g”). BOARS agreed that a CS course can be approved for the mathematics (“c”) area, as long as it includes sufficient math content.

- **Revisions to “a-g” criteria:** BOARS reviewed and approved revised evaluation criteria for high school courses that satisfy the ‘a-f’ subject requirements for freshman admission criteria, generated by faculty workgroups convened by UCOP.

## BOARS REPRESENTATION

BOARS Chair George Johnson represented the committee at meetings of the Academic Council and the Academic Assembly. He co-chaired the Transfer Action Team, and attended meetings of the [Intersegmental Committee of Academic Senates](#) (ICAS), to discuss issues of shared concern to the three California higher education segments, and meetings of a joint Senate-Administration Enrollment Issues Work Group to discuss enrollment issues. He was also a member of the Systemwide Strategic Admissions Taskforce (SSAT), the National Governors Association Common Core Project – a statewide effort to help identify and coordinate higher education’s response to the Common Core, and he made a presentation on UC comprehensive review with UCSC Admissions Director Michael McCawley at the 2014 meeting of the Western Association of College Admissions Counseling (WACAC).

## ACKNOWLEDGEMENTS

BOARS collaborated closely with UCOP and benefited from regular consultations with Vice President for Student Affairs Judy Sakaki, Associate Vice President for Undergraduate Admissions Stephen Handel, and Director of Undergraduate Admissions Michael Treviño, who updated BOARS about application, admissions, and SIR outcomes; transfer policies, initiatives, and legislation; the President’s Supporting Undocumented Students initiative; meetings with student groups; community outreach; admissions messaging; feedback from counselor conferences; campus-based concerns; and other issues. Associate Vice President Handel and Director Treviño also worked closely with the Data Analysis Subcommittee. Associate Director Monica Lin attended each meeting, worked closely with the A&E Subcommittee, and briefed BOARS on high school ‘a-g’ course certification issues, the UC Curriculum Integration Institutes, Smarter Balanced Assessment Consortium, and other topics. BOARS also received valuable support and advice from Institutional Research Coordinator Tongshan Chang, who provided the committee with critical analyses, and Admissions Policy Coordinator Adam Parker. BOARS also thanks the faculty who attended meetings as alternates for regular committee members: Dorothy Wiley (UCLA), Richard Rhodes (UCB), Andrej Luptak (UCI), Thad Kousser (SD), Madeline Butler (SD), Juliette Levy (R), Yi Zhang (SC), and Minghui Hu (SC).

Respectfully submitted,

|                                |                                     |
|--------------------------------|-------------------------------------|
| George Johnson, Chair (B)      | Vickie Scott (SB)                   |
| Ralph Aldredge, Vice Chair (D) | Charles Thorpe (SD)                 |
| Lee Bardwell (I)               | Jack Vevea (M)                      |
| Robert Cooper (LA)             | Jeremy Akiyama, Undergraduate (SD)  |
| Kathryn DeFea (R)              | William Jacob, <i>ex officio</i>    |
| Patrick Farrell (D)            | Mary Gilly, <i>ex officio</i>       |
| June Gordon (SC)               |                                     |
| Lynn Huntsinger (B)            | Michael LaBriola, Committee Analyst |
| Henry Sanchez (SF)             |                                     |

## UNIVERSITY COMMITTEE ON COMMITTEES ANNUAL REPORT 2013-14

### TO THE ASSEMBLY OF THE ACADEMIC SENATE:

#### **Responsibilities and Duties**

Pursuant to [Senate Bylaw 150](#), in 2013-14 the University Committee on Committees (UCOC) oversaw the appointment of chairs and vice chairs for each of the standing committees of the Assembly; oversaw the nomination of Senate members to serve on ad hoc or ongoing joint Senate-Administration committees and task forces; and authorized the Chair of the Assembly to appoint active members of standing committees to serve on joint committees and task forces subject to UCOC approval. UCOC met once in person, and eight times by video conference. We report on the major issues and accomplishments of the year below.

#### **Appoint Chairs and specified Vice Chairs of the Senate's Standing Committees.**

At its October meeting UCOC appointed members to serve as committee liaisons to each standing committee. The liaison was tasked with gathering information from the chair, vice chair, and, where appropriate, members and committee staff on the committee's effectiveness in the current year. The liaison recommended one or more individuals to be considered for service as chair and, where required, vice chair of his/her designated committees for 2014-15. The committee reviewed these recommendations at its April meeting. Appointments to all but three positions have been confirmed – the UCORP vice chair, the UCCC chair, and the UCCC vice chair.<sup>1</sup>

#### **Appoint members of Senate committees, subcommittees, or task forces that report to the Assembly.**

The ten divisional Committees on Committees nominated divisional representatives to the standing committees. Subsequently, UCOC appointed members for two-year terms, and appointment letters, which specify the term of appointment and describe the committee's charge, have been issued. UCOC added two new at-large members to ACSCANR, re-appointed two ACSCOLI members, and appointed two new members to the Editorial Committee.

#### **Appoint Senate Representatives to Ad Hoc and Joint Senate-Administrative Bodies.**

Where appropriate, UCOC asked the standing committees of the Assembly to identify current committee members to serve on ad hoc and joint bodies whose charge(s) matched or over-lapped those of the respective committees. In that spirit, UCOC nominated, appointed, or confirmed representatives to serve on a number of joint Administration-Senate task forces and other groups. These included the UCEAP Governing Committee, the UCI Chancellor Search Advisory Committee, the UCSF Chancellor Search Advisory Committee, the President's Global Climate Council, and the System-wide Sustainability Steering Committee.

#### **Oliver Johnson Award**

UCOC nominated Joel Dimsdale (UCSD) and Kathleen Komar (UCLA) for the Oliver Johnson award. Both nominations have distinguished academic careers with a long history of substantial Senate service. Academic Council subsequently awarded both nominations the Oliver Johnson award.

<sup>1</sup> See below. UCOC revised UCCC's bylaws, changing the committee's name to the "University Committee on Academic Computing and Communications" (UCACC). This bylaw revision will be submitted to Academic Assembly for its fall 2014 meeting. For this reason, the appointment of the UCCC chair and vice chair was delayed.



### **Letter on Adequate Timelines for Presidential Nominations**

In April, UCOC sent a letter Academic Council Chair Bill Jacob requesting that he discuss with President Napolitano appropriate timelines when asking UCOC for nominations for important Presidential and systemwide task forces and special committees. This letter was motivated by a number of requests that gave the committee insufficient time to thoroughly search and identify Senate members who had the appropriate expertise, background, availability to serve on these special committees. Specifically, UCOC asked for a six-week minimum turnaround time to complete its work. While the President did not honor UCOC's request, the letter lays out important considerations when making these nominations:

1. Requests must be considered by the systemwide Academic Senate leadership to determine whether to name representatives directly from standing committees or to cast a broader net;
2. Requests requiring a broader net are referred to UCOC;
3. UCOC issues requests to campus COCs for local consideration; campus committees seek out the most appropriate candidates from a wide range of individuals who are locally known and respected but may not be known at the systemwide level and determine whether they are willing to accept the proposed appointment;
4. Divisional Chairs of COC report back to UCOC with recommendations and confirmation that the recommended individuals are available; and
5. UCOC considers the resulting pool and makes final recommendations.

### **Bylaw 155 Amendment: University Committee on Computing and Communications**

UCOC proposed sweeping changes to Bylaw 155, which governs the University Committee on Computing and Communications; these amendments were prompted by changes in the technology environment, a lack of proactive engagement by UCCC, and low member meeting attendance. In spring 2012, UCOC endorsed an Academic Council recommendation to disband UCCC. However, the Assembly of the Academic Senate decided against dissolving it, voting instead to refer it back to Council with instructions to "consider the formation of an information technology committee as an alternative to UCCC." The amendments to Bylaw 155 therefore represent the fulfillment of Assembly's instructions. First and foremost, UCOC changed the name of the committee to the University Committee on Academic Computing and Communications" (UCACC), which enlarges its charge to include consultation with the Provost and Executive Vice President, and not only the President. Most importantly, the charge moves this committee from an era when super computers were the norm on university campuses, thereby refocuses it away from narrow technology issues and directly into all aspects of academic computing and communication. As such, this committee would be charged with representing the Senate in all matters related to the uses and impact of academic computing and communications technology - including, but not limited to, online education, computing infrastructure, security, privacy, analytics, and intellectual property as they pertain to the University's academic mission. Membership on this committee could be drawn from a number of sources, but representatives must come from a Divisional standing committee with jurisdiction over related matters. Finally, the chairs of the Committee on Libraries and Scholarly Communication (UCOLASC), Coordinating Committee on Graduate Affairs (CCGA), and the University Committee on Educational Policy (UCEP) shall serve as ex officio members. This proposed bylaw change will go to the Assembly of the Academic Senate for formal approval at its fall 2014 meeting.

**Bylaw 128 Amendment: Vice Chairs**

In recent years, the University Committee on Committees (UCOC) has run into difficulties in appointing non-Council vice chairs who are also members of their local corresponding Divisional committees. Bylaw 128.D.2 currently reads “for committees not represented on the Academic Council, with the exception of the University Committee on Committees, the Vice Chair shall be appointed from among the Divisional appointees.” This bylaw has proved problematic for both reasons of timing and principle. With respect to timing, UCOC’s chair and vice chair appointments are made synchronously with local appointments to standing committees. Therefore, it is sometimes difficult to know if a UCOC-appointed vice chair will indeed be a divisional representative for the following year. In recent memory, there have been at least three cases in which this bylaw has caused problems. With respect to principle, it is in the best interest of the Divisions to have a regular rotation of Senate members through their divisional committees to bring in new talent and fresh perspectives. On the other hand, one of UCOC’s principal interests is to develop and maintain effective faculty leaders. As currently written, bylaw 128.D.2 restricts this, given that UCOC is limited to current divisional committee members in selecting vice chairs for non-Council committees. A tangential issue involves the possible conflict when the vice chair must substitute for the chair at a committee meeting while still representing his or her Division. Therefore, it is useful and desired to allow for a vice chair to serve as an at-large member. UCOC subsequently proposes to make all vice chairs at-large members, regardless of whether the committee sits on Academic Council or not. This proposed bylaw change will go to the Assembly of the Academic Senate for formal approval at its fall 2014 meeting.

Respectfully submitted:

|                                   |  |
|-----------------------------------|--|
| Martha Conklin, Chair (UCM)       | Mariam Lam (UCR)                               |
| Edwina Barvosa, Vice Chair (UCSB) | Farrell Ackerman (UCSD)                        |
| Robert Sharf (UCB)                | Paul Garcia (UCSF)                             |
| James Chalfant (UCD)              | Elizabeth Abrams (UCSC)                        |
| Vincent Caiozzo (UCI)             | William Jacob (Council Chair, ex-officio)      |
| Eleanor Kaufman (UCLA)            | Mary Gilly (Council Vice Chair, ex-officio)    |
| Patricia LiWang (UCM)             | Todd Giedt (Senate Associate Director/Analyst) |



**Coordinating Committee on Graduate Affairs (CCGA)  
Annual Report 2013-14**

**TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

Per Senate bylaw 180, the Coordinating Committee on Graduate Affairs (CCGA) advises the University President and all agencies of the Senate on all matters regarding research and learning related to graduate education. One of CCGA's chief responsibilities, as delegated by the Regents, is the authority to review and evaluate all campus proposals for new graduate programs and schools that require approval of the President. In addition, CCGA establishes basic policies and procedures for coordinating the work of the various graduate councils and divisions, recommends to the Assembly minimum standards of admission for graduate students, reviews standards and policies applied by graduate councils, reviews policies concerning relations with educational and research agencies, and approves UC graduate courses as system-wide courses to be listed in divisional catalogs.

**Review of Proposed Graduate Degree Programs**

During the 2013-14 Academic year, 19 proposals were submitted to CCGA for review; of these, 12 were approved, one was returned for further revision, and six were left to carry over into the next academic year; none were rejected. The date on which CCGA received each proposal is added after its name.

| <b>Campus</b> | <b>School/Program Proposed</b>  | <b>Lead Reviewer</b>     | <b>Disposition Date</b> | <b>Disposition Status</b>     |
|---------------|---|--------------------------|-------------------------|-------------------------------|
| <b>UCI</b>    | MA in Philosophy, Political Science, and Economics 2/2/14               | J. Kim                   | —                       | Under Review                  |
| <b>UCI</b>    | MA/PhD in Integrated Composition, Improvisation, and Technology 3/13/14 | S. Somerville            | —                       | Under Review                  |
| <b>UCI</b>    | PhD in Informatics 5/15/13  | V. Leppert<br>D. Agrawal | 11/6/13                 | Approved                      |
| <b>UCLA</b>   | MA in Applied Economics 10/29/13  | J. Bolander              | 6/4/14                  | Approved                      |
| <b>UCM</b>    | M.S./Ph.D. in Applied Mathematics 5/12/13                               | Y. Seo                   | 11/6/14                 | Approved                      |
| <b>UCM</b>    | M.A./Ph.D. in Interdisciplinary Graduate Group - Humanities 2/28/13     | B. Schumm                | 11/6/13                 | Returned for Further Revision |
| <b>UCM</b>    | M.A./Ph.D. in Interdisciplinary Humanities 1/28/14                      | D. Mastronarde           | 2/5/14                  | Approved                      |
| <b>UCM</b>    | MS and PhD in Physics 2/25/14   | E. B. Robertson          | 6/4/14                  | Approved                      |
| <b>UCM</b>    | MA and PhD in Sociology 5/22/14   | J. Kim                   | —                       | Under Review                  |
| <b>UCR</b>    | MA in Public Policy 10/14/13  | K. Ng                    | 3/5/14                  | Approved                      |
| <b>UCSB</b>   | B.S./M.S. in Mechanical Engineering 5/20/14                             | D. Mastronarde           | 6/4/14                  | Approved                      |
| <b>UCSB</b>   | PhD in Global Studies 10/25/13  | B. Schumm                | 4/9/14                  | Approved                      |
| <b>UCSC</b>   | M.S. in Scientific Computing and Mathematics 6/3/14                     | J. Bolander              | —                       | Under Review                  |
| <b>UCSD</b>   | Joint PhD in Applied Social Science with an emphasis on                 | C. Burke                 | —                       | Under Review                  |

|             |   |                               |          |              |
|-------------|---|-------------------------------|----------|--------------|
|             | Substance Use (with SDSU)<br>1/31/14        |                               |          |              |
| <b>UCSD</b> | MAS in Data Science and Engineering 2/24/14 | Y. Seo                        | 4/9/2014 | Approved     |
| <b>UCSD</b> | Master of Finance 11/15/13                  | Y. Seo                        | 2/5/2014 | Approved     |
| <b>UCSD</b> | MAS in Climate Science and Policy 9/13/13   | M. Zubiaurre<br>S. Somerville | 3/5/2014 | Approved     |
| <b>UCSF</b> | MS in Health Policy and Law 4/1/14          | K. Ng                         | 7/2/2014 | Approved     |
| <b>UCSF</b> | PhD in Rehabilitation Science 6/11/14       | V. Leppert                    | —        | Under Review |

#### Review of Proposals for Changes and Other Programmatic Matters

During the 2013-14 year, CCGA approved five requests for name changes, reconstitutions, conversions, and expansions.

| <b>Campus</b> | <b>Program Name</b>  | <b>Change</b>                                       | <b>Disposition Date</b> |
|---------------|--|---|-------------------------|
| <b>UCD</b>    | School of Nursing Physician Assistant Studies, Master of Health Services | Conversion from state-supported with PDST to SSGPDP | 5/7/14                  |
| <b>UCI</b>    | MS in Cognitive Neuroscience   | Added to existing PhD program                       | 11/08/13                |
| <b>UCLA</b>   | “En Route” MS in Nursing   | Added to existing PhD program                       | 11/8/13                 |
| <b>UCLA</b>   | African American Studies Reconstitution                                  | Departmentalization, transfer of graduate degrees   | 5/7/14                  |
| <b>UCM</b>    | IIGP Renewal Request   | Renewal   | 5/7/14                  |
| <b>UCSC</b>   | Technology and Information Management M.S./Ph.D.                         | transfer of administrative home                     | 6/4/14                  |
| <b>UCLA</b>   | Slavic, East European, and Eurasian Languages and Cultures               | Simple name change                                  | 7/2/14                  |

#### Status of 2013-14 State Legislation Relevant to CCGA

##### AB 2350 (Bonilla)

Prohibits postsecondary educational institutions, including the faculty, staff, or other employees of these institutions, from requiring a graduate student to take a leave of absence, withdraw from the graduate program, or limit his or her graduate studies solely due to pregnancy or pregnancy-related issues; requires the written policy on sexual harassment to include procedures for Title IX pregnancy discrimination complaints and the name and contact information of the institution's Title IX compliance officer.

UC Position: Support.

##### AB 1834 (Williams)

Amends HEERA to provide that student employees whose employment is contingent upon their status as students are defined as employees or higher education employees - to create collective bargaining rights for new classes of working students, including UC graduate student researchers (GSRs).

UC Position: Oppose

## **Topics of Note During the 2013-14 Year**

### **Academic Doctoral Student Support**

Two years ago, a task force on graduate education reported on critical issues concerning the competitiveness of UC's academic doctoral programs. This task force found that rising tuition and uncompetitive stipends threatened to undermine program quality. In 2013-14, CCGA worked with the University to help remediate the findings of the task force. Specifically, it endorsed:

- The removal of the the effect of NRST after the first year.
- The goal of providing multi-year funding offers to graduate students in all programs.
- Continued expansion and implementation of professional development training for graduate students, including information about non-academic careers for PhDs.
- Improved connections with industry and public institutions.
- Increased effort by the campus development offices to provide immediate-use resources and endowments for graduate student fellowships.
- The goal of expanding summer bridge programs and dedicated fellowships to increase the pipeline of graduate students coming from CSU and CCC.

CCGA also was involved heavily in the All-UC Conference, from planning through collection of feedback. The Conference featured representatives from each campus and focused discussion on four major topics: professional development and partnerships, non-resident supplemental tuition, overall competitiveness in net stipends, and competitiveness in diversity and student recruitment. The outcomes are intended to inform recommendations for best practices to be taken to the Regents.

### **Graduate Education: Access and Diversity**

In 2013-14, CCGA continued to be concerned about the establishment and oversight of PDST and SSGPDP programs and their effects on access and diversity.

In April 2014, CCGA forwarded to the Provost a copy of a 2011 CCGA policy statement which attempted to clarify the role of the Academic Senate in the decision to initiate the charging of PDST in state-supported graduate degree programs. The Chair encouraged the Provost to review the 2011 document and to share her thoughts about it with the committee.

Similarly, in July 2014, the committee reviewed the final SSGPDP draft proposal and provided the Senate with feedback. Among CCGA's more important comments were the following:

- Several campuses have concerns about differences between existing programs and some provisions of the new policy. CCGA requested that the policy be accompanied by a cover letter that explicitly details how the policy applies to previously approved SSPs. Specifically, what kind of deviations or exceptions will be considered "grandfathered in" and what features will need to be brought into compliance?
- CCGA asked that the Academic Planning Council consider issuing a statement clarifying the use of the M.A.S. title and the nature of this degree.
- CCGA expressed concern about the rapid expansion of SSGPDPs and their potentially dangerous impact on the University and its relationship to state funding. CCGA stated that it is unclear whether SSGPDPs will be required to adequately share their profits for the general campus good and whether the amount of administrative effort involved in developing, reviewing, and monitoring these programs will result in less time being available for other University efforts.
- Finally, CCGA expressed profound concern about student access as more SSGPDP and PDST programs are brought online; members feel that it will be difficult to ensure that fair access is maintained through the somewhat vague directives that are currently in the proposed SSGPDP and PDST policies.

## **Policy Clarifications and Refinements**

### **CCGA Handbook Revision**

During the 2013-14 year, CCGA undertook a thorough review of the *Handbook* for clarity and inconsistencies. The revised *CCGA Handbook* can be accessed through the Academic Senate website. The *Handbook* will be updated again once the SSGPDP and PDST policies are finalized.

### **Recommendation: Master of X as the Default Title for New SSGPDPs**

In several instances, CCGA has insisted that requests for professional Master's degrees with PDST or self-supporting status should use the title Master of X rather than M.A. in X or M.S in X. The aim has been to maintain, as far as possible, the distinction between academic degree programs (ineligible for PDST or SSGPDP status) and professional degree programs.

CCGA recommended to the local graduate councils and graduate deans that this distinction be carefully observed. Proposals involving PDST or SSGPDP funding should be described as professional degree proposals and should – by default – use Master of X rather than M.A. or M.S. Previously approved degrees that do not follow this practice are not required to change titles. Details about this recommendation are in Appendix J of the revised *Handbook*.

### **Five-Year Perspectives**

Campuses routinely submit *Five-Year Planning Perspectives* to UCOP that list anticipated creations, transfers, consolidations, disestablishments, and discontinuances in undergraduate degree programs, graduate degree programs, schools, colleges, and research units. Preparing this document gives each campus the opportunity to gather information for its long-range planning efforts, and the results may promote coordination, synergy, and specialization. With the demise of the California Postsecondary Education Commission (CPEC), there has been some discussion of whether this exercise retains enough value to justify the effort. After a gap, the information has been gathered this year. Assistant Director Baxter shared a preliminary version of the Five-Year Planning Perspectives with CCGA. She encouraged the members to share the draft Perspectives with their graduate councils if they so choose.

### **UC Graduate Alumni Survey**

The UC Graduate Alumni Survey collected information from UC doctoral alumni regarding their experiences and achievements since earning their degrees. This effort focused on alumni who graduated between 1944 and 2013 and produced the first-ever comprehensive view of this cadre of alumni. The data received from this survey will help inform policy and advance the discourse surrounding the impact and value of graduate education. IRAP Vice President Pamela Brown presented information regarding the Graduate Alumni Survey and its outcomes to CCGA. One of the key findings was that the majority of doctoral alumni spend their careers in higher education, though many land in private industry. Overall, most end up being relatively stable in the field they studied.

### **HBCU and HSI/TCU Initiatives**

CCGA has followed the progress and success of the Historically Black Colleges and Universities (HBCU) initiative. Prior to the initiative, the five-year average (2008-2012) for enrollment of African Americans in UC academic doctoral programs was 2.6%. The UC-HBCU Initiative works to improve the representation of this population in UC graduate programs, particularly Ph.D. programs, by investing in relationships and efforts between UC faculty and HBCUs. In 2012 and 2013, UC hosted a total of 86 fellows across nine campuses. More than 80 fellows are expected to conduct research at nine campuses during summer 2014.

At CCGA's June meeting, Graduate Studies Director Jennings discussed a draft proposal for a similar program in collaboration with Hispanic-Serving Institutions (HSI) and Tribal Colleges and Universities (TCU). CCGA strongly supported this proposal and its commitment to improving access to quality graduate education among underrepresented groups.

### Graduate Advocacy Day

Every year, graduate students from each UC campus gather in Sacramento to educate lawmakers about the importance of graduate research and its contribution to California's economy and progress. March 12 marked the fifth annual Graduate Research Advocacy Day. Twenty-two students were selected by their graduate deans to meet with legislators and to advocate on behalf of UC graduate studies and research.

### Acknowledgements

CCGA is grateful to have had valuable input from and exchange with these UCOP and campus consultants and guests over the past year: Provost Aimée Dorr, Vice President for Research and Graduate Affairs Steven Beckwith, Director of Graduate Studies Pamela Jennings, Director of Academic Planning Todd Greenspan; Assistant Director of Academic Planning Hilary Baxter, IRAP Vice President Pamela Brown, Vice Provost Susan Carlson, Diversity, Labor, and Employee Relations Director Amy K. Lee, and Senior Analyst Jocelyn Banaria. Special thanks to Senate Associate Director Todd Giedt who shepherded CCGA throughout the year and profound thanks and best wishes for a happy retirement to Senate Executive Director Martha Winnacker.

**UNIVERSITY COMMITTEE  
ON  
EDUCATIONAL POLICY  
2013-2014 ANNUAL REPORT**

**TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

The University Committee on Educational Policy (UCEP) met nine times in Academic Year 2013-2014 to conduct business with respect to its duties as outlined in [Senate Bylaw 170](#) and in the Universitywide Review Processes for Academic Programs, Academic Units, and Research Units (the “[Compendium](#)”). The major activities of the committee and the issues it addressed this year are outlined briefly, as follows.

**Systemwide Course Approval Guidelines**

Council considered UCEP’s criteria for systemwide courses in July and voiced several concerns. The primary question was whether UCEP should have any role in designating a course for system-wide listing. In October, the committee began to review the criteria and one goal was to eliminate the need for UCEP to deal with any courses that have been approved by the campuses. There was a concern that UCEP would become involved in assessing the quality of courses and overstepping established divisional policies. Committee members agreed that any regular campus course can be designated as a systemwide course and that if it has been approved by a campus Committee on Courses, then UCEP will not reevaluate it on its merits. Another goal was to make the guidelines flexible to accommodate different circumstances. The new “[UCEP Guidelines for Systemwide Course Approvals](#)” were reviewed and accepted by Council in December 2013.

**Evaluation of the Online Instruction Pilot Project (OIPP)**

The Blue Ribbon Panel (BRP) appointed to review the evaluation of the Online Instruction Pilot Project received an unedited, 1000+ page copy of the Main Evaluation Report in November 2013. The evaluation was performed by the UC Educational Evaluation Center at UC Santa Barbara. UCEP endorsed the BRP’s main findings, and its conclusion that the UCEC’s evaluation report did not provide sufficient information about student performance and learning outcomes for an appropriate evaluation of the OIPP program, now known as UC Online Education (UCOE). The evaluation report also did not respond to the BRP’s requests to UCOE in November 2012 and February 2013 for a broader analysis and objective data on costs and student outcomes. [UCEP’s memo](#) was endorsed by the Academic Council in April and forwarded with the Panel’s report to Provost Dorr. Although there has been no response to the memos from the administration, in May Chair Jacob reported to UCEP that an RFP for the evaluation of online courses is being prepared. The evaluation will attempt to look at some of the issues raised by the Blue Ribbon Panel which include costs, including hidden costs, the level of support provided and student satisfaction.

**Communications Hub and Cross Campus Enrollment**

In the Spring, UCEP responded to requests from the UCOE Interim Director for feedback related to the proposed communications hub and the cross campus enrollment system. Specifically, UCEP reviewed the UCOE documents entitled “Project Overview for Cross Campus Enrollment,” including the Appendix “Cross-Campus Enrollment System Questions, Issues Risks,” aimed at streamlining the recently created centralized online UC registration for matriculated and nonmatriculated students. In its March 14<sup>th</sup> memo to Council Chair Jacob, UCEP noted that the committee had persistently been given an inadequate timeframe to provide meaningful input and that the approach that the HUB leadership has taken in this regard has caused serious and lasting concerns regarding the quality, vision, and future of the effort. Although the committee agreed that a complete central registration system interfacing seamlessly with every campus would be useful, UCEP cautioned that it would be premature to move to an RFP for creation of a centralized online registration system. Committee members believe that there is not a critical

mass of online courses and/or cross campus online course enrollees to justify the high cost of developing and implementing a complex computer system.

In a June 2<sup>nd</sup> memo, UCEP responded to the UCOE Interim Director's document titled "Issues related to the cross-campus enrollment pilot and the simultaneous enrollment policies that have been used for enabling cross-campus enrollment." The committee received a report from Council Chair Jacob in February that cross campus enrollment through the [UCOE website](#) had produced sixty students systemwide for the winter quarter and spring semester. The memo indicated that UCEP members did not interpret the absence of cross-campus enrollment as a problem and continue to support the investigation of issues associated with cross-campus enrollment. UCEP pointed out that the changes proposed by the administration would necessitate broad changes to existing policies and practices not in keeping with the authority reserved by each campus's faculty over curricular matters. UCEP suggested continued negotiation with each division over issues such as enrollment and registration, articulation and fees. UCEP will look forward to discussing these issues further in the coming academic year.

### **Senate Regulation 760 – Credit in Courses**

In October, UCEP resumed the debate over how to address a requirement by WASC that all the institutions it accredits must provide a reasonable and transparent formula that describes the manner in which course credits are awarded. Senate Regulation [SR760](#) provides a very broad description of how credits are awarded but it is, however, too vague to meet these new requirements. At the beginning of 2014, UCEP sent a letter to the divisions instructing them to determine whether their definition is sufficiently clear to comply with the new WASC regulation and to submit their definitions to UCEP. Although the divisions will work on revisions to this regulation, UCEP understands that there may eventually be a need for a systemwide policy revision.

### **Transfer Issues**

In November, President Napolitano announced the formation of a team charged with recommending ways to both raise the number of students who transfer to UC from community colleges and improve their success at the university. The team was led by Provost Aimée Dorr and co-chaired by Judy Sakaki, UC vice president of student affairs, and George Johnson, chair of UC's Board of Admissions and Relations with Schools. It included the chairs of UCEP and UCOPE, a former transfer student, and a number of campus leaders in transfer services across the system as well as key individuals at UCOP who would conduct research and implement the plan. The team was divided into four areas: admissions and articulation, outreach and preparation, transitions and orientation and one on enrollment growth and impact. Chair Labor briefed the committee on the team's progress as it met from December to April. The team's report "[Preparing California for its Future: Enhancing Community College Student Transfer to UC](#)" was presented to the Regents in May. UCEP will monitor the implementation of the team's recommendations.

### **AP Credit**

UCEP discussed the appropriate use of AP English exams to satisfy divisional requirements after matriculation in April. UCOPE had identified this issue and in 2013 the committee surveyed the campuses to see if there is uniformity in following Senate regulations in terms of the writing requirement. The regulation requires campuses to count SAT, AP and other tests towards the satisfaction of the Entry Level Writing Requirement even if the students have failed the AWPE. It was not surprising to find out that the responding campuses are using the AP guideline that a score of 3 or better will satisfy the ELWR. UCOPE was concerned about the divergence of how campuses use the scores above 3 to exclude students from some or all of their writing requirements subsequent to the basic writing requirement. It is not problematic that in some cases, higher scores would exempt students from some of the lower division writing requirements. But some of the six campuses go further than this. UCEP agreed to investigate this matter with UCOPE. As a first step, UCEP members edited a draft memo prepared by UCOPE and forwarded the memo to BOARS in June and is currently awaiting feedback.

### **Other Issues and Additional Business**

In response to requests for formal comment from the Academic Council, UCEP also issued views on the following:

- Self-Supporting Graduate Degree Programs
- UC Hispanic Serving Institutions Initiative and Proposal to Establish a Regents Diversity Fellowship
- All UC Doctoral Student Support Conference

UCEP made curricular recommendations under its charge (four systemwide courses and the UC Davis Optical Science and Engineering program discontinuance) and touched on a variety of other issues related to the business of the Academic Council, Academic Assembly, the Intersegmental Committee of Academic Senates, and the work of campus Committees on Educational Policy.

### **UCEP Representation**

UCEP Chair Tim Labor represented the committee at meetings of the Academic Council, and Academic Assembly, and regularly attended meetings of the Intersegmental Committee of Academic Senates. Chair Labor also participated on the President's Transfer Action Team, the Provost's monthly budget briefing teleconferences, and the Academic Planning Council.

### **Committee Consultations and Acknowledgements**

UCEP benefited from consultation and reports from Hilary Baxter, Associate Director, Academic Planning, Programs and Coordination; Keith Williams, Interim Director, UCOE; Shawn Brick, Associate Director, Transfer Admissions Policy; and Steve Handel, Vice President, Undergraduate Admissions.

In addition, UCEP consulted the Academic Senate chair and vice-chair, who updated the committee on issues facing the Academic Council and Senate.

Respectfully submitted,

Tim Labor, Chair (R)  
Charles Anthony Smith (I)  
Nicholas Sitar (B)  
Donald Curtis (SF)  
Seeta Chaganti (D)  
Ann Plane (SB)  
Andrew Kenney (Graduate student-B)  
Sam Pandey (Undergraduate-SB)

Tracy Larrabee, Vice Chair (SC)  
Jay Sharping (M)  
Mary Beth Pudup (SC)  
Leslie Carver (SD)  
Troy Carter (LA)  
Mark Springer (R)  
Max Huft (Undergraduate student-SC)

Bill Jacob ((SB), Chair, Academic Senate, *Ex Officio*)  
Mary Gilly ((I), Vice Chair, Academic Senate, *Ex Officio*)  
Brenda Abrams, Principal Policy Analyst



## **UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW) 2013-14 ANNUAL REPORT**

### **TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

Under [Senate Bylaw 175](#), the University Committee on Faculty Welfare (UCFW) considers and reports on matters concerning the economic welfare of the faculty, including salaries, benefits, insurance, retirement, housing, and conditions of employment. UCFW held nine in-person meetings and one teleconference during the 2013-14 academic year, and the major actions and discussions of ongoing issues are highlighted in this report.

UCFW has two key task forces with memberships independent of UCFW and with particular expertise in: (1) the University of California Retirement System (UCRS) including its policies and its investments (the Task Force on Investment and Retirement, TFIR); and (2) the University's health plans for employees and retirees (the Health Care Task Force, HCTF). These task forces monitor developments and carry out detailed analyses of questions and issues in their respective areas and report back to UCFW for further action. UCFW is indebted to the extraordinary commitment and skills of our task force leadership, Jim Chalfant (TFIR) and Bill Parker (HCTF). These two task forces spend a great deal of time in consultation with systemwide Human Resources (HR). Many of these consultants, along with others from Academic Personnel and the Office of the Budget also regularly attend UCFW meetings and lend their expertise to our discussions. We are indebted to these consultants, and they are individually acknowledged at the end of this Report.

### **POST-EMPLOYMENT BENEFITS:**

In December 2010, the Regents approved a new tier for UCRP, and UCFW and TFIR have closely monitored the development of its planning documents and its implementation. UCFW discussed the algorithm used for "grandfathering" employees in the 1974 Tier, and as a result, an additional 700 employees were included at that time. This spring, President Napolitano announced further changes to the "grandfathering" practice, making the date of hire determinative for retiree health eligibility, rather than the "5+50" equation wherein years of service and employee age must total 50 as of June 30, 2013, for entry into the 1974 tier provisions. A total of 62000 employees had to complete the calculation, and prior to the May 2014 announcement, 52% of them were ineligible for the 1974 tier benefits.

TFIR lauded the simpler retiree health eligibility calculation, as well as the administration's proposal and the Regents' decision to authorize additional borrowing to fund UCRP. Previously, \$2B has been lent to UCRP with positive impacts on the plan's funded status. This year, TFIR advocated for additional borrowing. The decision to borrow \$700M to help the University contribute modified ARC for 2014-15 was less than TFIR has requested to be borrowed, and TFIR will continue to call for additional borrowing. TFIR based its decision on an analysis of different scenarios generated by UC's actuary, Segal, and agreed to by Human Resources. The projections indicate that although UC will contribute more and the plan's funding ratio will improve, the plan's

unfunded liability will continue to grow since both the numerator and denominator in the ratio will grow, but at different rates. To eliminate fully the unfunded liability, additional employer contributions are still needed.

The HCTF monitored changes to retiree health benefits, especially for retirees out-of-state. In-state retirees are still eligible for UC sponsored health insurance, but out-of-state retirees must now use the exchanges established by the Affordable Care Act. To facilitate their entry into that market, out-of-state retirees were given a flat sum to spend as they saw fit given their local and personal circumstances. Many are concerned that a similar practice will be foisted upon in-state retirees, but the administration has repeated that it has no intention to migrate in-state retirees to exchanges anytime in the near future.

UCFW also reported to HR that their decision to centralize retirement counseling services at UCOP under the Retirement Administration Service Center (RASC) was not being well received at the campuses. HR views retirement counseling as facilitating Medicare enrollment and the like, while the Senate views retirement counseling as a much more individualized series of events to ease faculty into a new lifestyle. Emeriti groups at the campuses receive widely differing funds, access, and support, yet emeriti often remain contributing members of the campus community by mentoring students and junior faculty, continuing research, and serving on Senate committees. UCFW will continue to engage on this topic.

#### **HEALTH AND WELFARE BENEFITS:**

Following the work of the Health Care Benefits Working Group (HCBWG) in 2011-12, the administration decided to undertake a complete rebid of University health and welfare coverage. HCTF participated closely in the process, participating in interviews, and offering suggestions regarding coverage, access, and cost. A significant change in UC's offerings will include a new self-insured option: UC Care. UC Care was designed by UC's Office of Risk Services, a unit within the Chief Financial Officer division, in conjunction with the office of Health Sciences and Services. HR interacts with UC Care as it would with any other insurance vendor.

UCFW and HCTF reported several problems with UC Care during its roll-out and first year of operation. Open Enrollment communications were compromised due to changes to the provider lists after materials had been made; some changes even occurred after the Open Enrollment period began, and as a result, UC provided a "grace period" after its Open Enrollment period through March 31 for employees who realized they had made a decision on poor or incomplete information to change their medical plan. Operations of the plan have not been smooth, either: Reports of reimbursement, referral, and out-of-pocket maximum confusion were widespread, not least because Blue Shield, the plan's third party administrator, did not have adequate training for its staff. Training at the UC medical centers on the plan has also proved wanting. Employees were also concerned about the quality of providers in UC Care's least expensive UC Select tier, noting that in some geographic areas, there were no hospitals or physician groups that participated. In Santa Barbara, the decision was made (after Open Enrollment had commenced), to accept their local provider despite the provider not agreeing to the UC Care reimbursement rate; the system paid an extra \$1M to include the local provider, and is expected to do so for 2015, too. No changes to the UC Select tier provider roster are

expected. UC Care leaders in the Office of Risk Services are working to improve communications and training in cooperation with HCTF.

Further, UCFW is concerned with the operations of UC Care behind the scenes. The program did not attract as many younger and healthier employees as expected, so the collected premiums may not be adequate to cover payouts to providers. Data on the plan's financial health were not ready at the time this report was written, but it is expected to run an operational debt due to lags in the billing process; plan sponsors have assured UCFW that the plan is still actuarially sound. Plan design features, though, such as unlimited self-referral among a high consumer group, could force the plan to raise its premiums – which could drive people out of the plan, putting it at still further financial risk. HCTF will continue to monitor the program closely.

UCFW also lobbied Human Resources to undertake a satisfaction survey of the University's health and welfare benefits. HR worked with HCTF to develop a survey for major medical, and HR deployed it in the early summer. The response rate was 26%, but the findings were not available at the time of writing. HCTF will evaluate the results closely when they are ready.

Last year, a new method of assessing benefits costs to all employer funding sources was explored, the "Composite Benefits Rate". With the goal of simplifying the process, it was proposed to create a limited number of categories for benefits cost assessment, rather than identifying a specific rate for each individual employee. Senate members identified a cross-subsidy that significantly disadvantaged summer salary recipients by assessing UCRP costs even though that salary is not UCRP-eligible. UCOP initially told the Senate that the federal government would not allow individual employees multiple rate codes, but UCB and UCD successfully negotiated with the federal government for exactly that. UCOP then told the Senate that further modeling to determine the least disruptive composite groups was not possible due to cost considerations and problem complexity, but the Senate, under the leadership of Council Chair Bill Jacob, was able to model alternatives once adequate data were provided. Chair Jacob was also able to coordinate with three chancellors to strengthen the Senate's position. As a result, President Napolitano adopted the Senate's recommendation, but more work remains to find the optimum composites for Health Sciences Compensation Plan members.

#### **CASH COMPENSATION ISSUES:**

**Salary Equity Plans:** The University Committee on Affirmative Action and Diversity continued its work to illustrate and address the salary equity gaps at UC. UCFW reviewed the campus responses to the plans and found room for improvement. The campuses continue to develop remediation plans, and UCFW will monitor action in this area.

**Total Remuneration:** UCFW argued for an update to the 2009 Total Remuneration Study, noting that UCRP contributions have increased from 0% to 8% since the 2009 study was concluded, that cash compensation increases have not kept pace with competitors, and that decreases to retiree health premiums have all eroded UC's competitiveness, but to an unknown degree. Due to cost considerations, it was determined that a full study was unworkable, so a study focusing on general campus ladder rank faculty only was commissioned. Current and past UCFW members joined

the administration in working with Mercer Consulting to develop and conduct the study as similarly as possible to the 2009 study. The study concluded that UC general campus LRF total remuneration now lags the Comparison 8 by 10% in aggregate, reflecting a 12% lag in cash compensation and a 7% lag in health and welfare benefits. Junior faculty see the lags more acutely than senior faculty due to the long apprenticeship required to become tenured and the career incentive structure of UCRP. As a result, recruitment and retention efforts may become even more difficult if meaningful redress is not implemented. The one-time cost to “fix” the faculty salary scales is estimated at \$140M, but no funds have been identified, and no administration champion has yet come forward. Discussions will continue into the fall.

## **DIVESTMENT**

Student activists have petitioned the Regents to divest from fossil fuels, and they have submitted the Carbon Tracker 200 as companies they target. UCFW and TFIR are skeptical that divestment would achieve the student activists’ goals, regardless of the fiscal impact of divestment to the University’s portfolio value. UCFW is also concerned that should UC accede to these demands, then the University will find itself on a slippery slope to calls for additional divestment from other industries – regardless of the fiscal impact on the University’s portfolio. The Regents have convened a task force chaired by new Chief Investment Officer Jagdeep Bachher to investigate and report to the Board in the fall; Council Vice Chair Mary Gilly is the Senate’s representative to the task force. At the time of writing, the Senate has not been asked for, nor has it developed, a consensus statement on fossil fuel divestment. UCFW and CIO Bachher think a successful outcome would be a responsible investment policy that allows UC to evaluate this and subsequent divestment calls in a transparent and fiscally viable manner.

## **OTHER POLICY ISSUES AND SYSTEMWIDE REVIEWS:**

**Academic Personnel Manual Revisions:** Several sections of the APM were up for review, and some new sections were proposed. UCFW opined on or discussed each of the following:

- 035 (Affirmative Action and Nondiscrimination in Employment) Appendices A-1 and A-2 / University Policy on Sexual Harassment
- 133 (Limitation on Total Period of Service with Certain Academic Titles (“Stop the Clock”))
- 190 (Selected Presidential Policies) A-2 / Whistleblower Protections
- 510 (Intercampus Transfers)
- 600 series (Salary Administration)
- 670, 671, 025 (Health Sciences Compensation Plan Conflict of Commitment)
- For management review only:
  - 080 (Medical Separation)
  - 330 (Specialist Series)

**Senate Membership:** Discussion continues at the medical centers and in other arenas regarding granting the rights and duties of Senate membership to new subpopulations. The San Diego division proposed an amendment to Senate By-Law 55 (Departmental Voting Rights) that would allow non-Senate members to submit in parallel

advisory votes on hiring and promotion cases. Two rounds of systemwide review did not lead to adoption of the proposal, and UCR&J opined that no bylaws needed to be changed to allow the practice. Nonetheless, UCFW expects questions around Senate membership to arise again next year, if not from the health sciences, then from the Cooperative Extension Specialists who work with the Division of Agriculture and Natural Resources.

**Additional Items:**

UCFW was pleased to receive updates on the following items, and will continue to monitor developments in these areas:

- Changes to Mortgage Origination Program
- UCSF's acquisition of Children's Hospital of Oakland
- Campus Climate Survey
- Professional degree supplemental tuition
- Self-supporting graduate and professional degree programs

**CORRESPONDENCE:**

Beyond submitting opinions and recommendations on the topics above, UCFW opined on the following matters of systemwide import:

- Copyright and Fair Use Policy amendments
- Extension of the Supplement to Military Pay Policy

**ACKNOWLEDGEMENTS:**

UCFW is indebted to its consultants and guests, without whom the committee's work could not be done:

Academic Affairs: Provost Aimée Dorr;

Academic Personnel: Vice Provost Susan Carlson and Director Janet Lockwood;

Budget: Vice President Patrick Lenz;

Finance: Executive Vice President Peter Taylor, Executive Director of Self-funded Health Plans Lori Taylor, Associate Vice President for Capital Markets Sandra Kim, and Director of Loan Programs Ruth Assily;

Health Sciences and Services: Senior Vice President Jack Stobo;

Human Resources: Vice President Dwaine Duckett, Executive Director of Pension and Retirement Programs Gary Schlimgen, Executive Director of Benefits Programs and Strategy Michael Baptista, Director of Benefits Programs Mark Esteban, and Executive Director for Compensation Programs and Strategy Dennis Larsen;

Office of the Chief Investment Officer: CIO Jagdeep Bachher, Associate CIO Mel Stanton, and Director of Client Relations Bill Ryan;

External consultants from Mercer, Deloitte, and Segal.

We are particularly grateful for the involvement, support and guidance from the Senate leadership, Chair Bill Jacob and Vice Chair Mary Gilly, as well as the advice and perspective provided by Senate Executive Director Martha Winnacker. Finally, the committee is particularly indebted to Principal Analyst Ken Feer for his thorough attention and timely management of the agendas and consultants of UCFW, HCTF, and TFIR, through a particularly challenging year.

Respectfully yours, UCFW 2013-14

J. Daniel Hare, Chair

Gayle Binion, Vice Chair

Cal Moore, UCB

Lori Lubin, UCD

Jean-Daniel Saphores, UCI

Gerald Kominski, UCLA

Linda Cameron, UCM

Karen Pyke, UCR

Joel Dimsdale, UCSD

Leah Karliner, UCSF

Simonetta Falasca-Zamponi, UCSB

Barry Bowman, UCSC

Jim Chalfant, TFIR Chair

Bill Parker, HCTF Chair

W. Doug Morgan, CUCEA Chair (ex officio)

Ross Starr, UCRS Advisory Board Faculty Representative (ex officio)

Shane White, UCRS Advisory Board Faculty Representative (ex officio)

## UNIVERSITY COMMITTEE ON INTERNATIONAL EDUCATION ANNUAL REPORT 2013-14

### TO THE ASSEMBLY OF THE ACADEMIC SENATE:

#### **Responsibilities and Duties**

Per [Senate Bylaw 182](#), the University Committee on International Education (UCIE) is primarily charged with 1) considering and reporting on matters of international education referred to the Committee by the President of the University, the Academic Council, the Assembly, a Divisional or any Senate Committee; and 2) continuing review of the Education Abroad Program and its policies. As part of its charge, it consults with the University of California Education Abroad Program (UCEAP) on future program development, including modification of the programs of existing Study Centers, establishment of new Study Centers, and disestablishment of EAP programs. The committee also oversees the formal review of programs and advises the President on the appointment of Study Center Directors. UCIE met in-person three times and held one iLinc videoconference during the 2013-14 academic year; the committee's key activities and accomplishments are highlighted in this report.

#### **UCEAP Overview**

In 2013-14, UCEAP should finish the year with 4,400 total participants. Over the next couple of years, it aims to enroll 4,600 participants for 2014-15, and 5,000 participants for 2015-16. Summer program enrollments continue to show robust growth (at 25% of total enrollments), and the multi-site programs are proving to be quite popular. All of the UC campuses grew their enrollments as well. Despite increasing participants, UCEAP's full time equivalents (FTEs) declined slightly this past year, due to the high participation rates in short-term, summer, and semester programs.

From the perspective of this committee, UCEAP's finances remain a concern for UCEAP's long-term viability. UCEAP's revenues are based upon student tuition and student fees, along with a small state subsidy (\$500K), which will fall to \$250K in 2014-15, and to zero in 2015-16. Without any tuition increases until 2016-17, UCEAP will run a significant operating deficit of between \$1.5M and \$2.5M, thereby eating up its surplus. If tuition increases begin in 2015-16 at 6%, UCEAP would still run deficits, but the impact on its accumulated surplus would be somewhat less. Indeed, UCEAP ran a small deficit (less than \$1M) in 2013-14. In addition, international costs have been rising, and exchange rates are currently less favorable to the U.S. That said, UCEAP has now built up its contingency reserve to the targeted level of \$4.6M. UCEAP's continued sustainability requires enrollment growth, tuition increases, and development efforts (or some combination of those three).

UCEAP continues to invest in its strategic initiatives. UCEAP identified three goals over the next three years – enrollment growth, UC stakeholder collaboration, and technology enterprise resources management. UCEAP's primary enrollment goal is 5,000 participants by 2015-16. With respect to scholarships, UCEAP awarded \$1M in scholarships in 2012-13. UCEAP has received over 1,000 applications for the upcoming summer programs. Finally, UCEAP is also launching a new partnership with UC's Division of Agriculture and Natural Resources (ANR) to handle ANR's enrollment management needs, which is interested in creating some programs to send students into the field. Although UCEAP is also offering its expertise in logistics, financial aid management, health and emergency services, at this time the partnership only includes enrollment management and the processing of student grades. ANR will begin with one course with approximately 30 students next year, and up to three courses in the following years with up to 150 students.

## Program Approvals

One of the principal duties of UCIE is the approval (or rejection) of new program proposals from UCEAP. In 2013-14, UCIE approved nine new programs in Europe, India, the Middle East, and South America. Some of these programs were multi-site, included internship and/or experiential learning options, and included English instruction. In brief, UCIE approved the following new programs (the review of the India St. Xavier's immersion program is postponed until the October UCIE meeting):

| Title   | Location   | Duration                      | Special Focus   | Start Date/Status                         |
|---|--|-------------------------------|---|---|
| American Councils Russia Programs Partner <sup>1</sup>  | Moscow & St. Petersburg, Russia                      | Fall; Spring; Year            | Russian language; UCLA  | Fall 2014; Fall 2014                      |
| Cultural Memory in the Southern Cone                    | Buenos Aires, Argentina & Santiago, Chile            | Fall                          | Human Rights; English   | Fall 2015                                 |
| Hyderabad*  | Hyderabad, India                                     | Fall                          | Interdisciplinary studies   | Fall 2014                                 |
| Jamia Millia Islamia Summer Program                     | New Delhi, India                                     | Summer                        | Multi-site visits & excursions; service fieldwork                 | Summer 2015                               |
| Madrid/ACCENT Construct Program                         | Madrid, Spain  | Fall; Summer                  | Interdisciplinary; social issues relevant to contemporary Iberia. | Fall 2015                                 |
| Mediterranean 'Food' Construct Program                  | Istanbul, Turkey, Florence, Italy, & Barcelona Spain | Fall; Short-term (not summer) | Food & Culture; Mediterranean Diet                                | Fall 2015                                 |
| Pune Contemporary India Internship or Research Program* | Pune, India  | Summer                        | Internships   | Summer 2014                               |
| St. Xavier's College Immersion Program                  | Mumbai, India  | Fall; Spring; Year            |   | Postponed for further review (Oct. 2014). |
| Technion, Israel  | Israel   | Fall; Spring; Summer          | Internships   | Fall 2015                                 |
| University of Geneva: Semester in English               | Geneva, Switzerland                                  | Spring                        | English; Summer Internships                                       | Spring 2015                               |

\*UCIE extended these programs for a three-year "trial" basis.

†Multi-site programs

<sup>1</sup> The American Councils programs are restricted to UCLA students only.



## **UCEAP Closures & Suspensions**

In 2014-15, UCEAP will close/terminate the following programs and exchange agreements:

- Australia: The University of New South Wales summer program and the programs at the University of Western Australia;
- China: The programs at East China Normal University in Beijing, and Peking University's summer program (to be replaced by the Shanghai summer program);
- Hong Kong: The exchange agreement with Hong Kong Polytechnic University;
- India: The IES Delhi program;
- United Kingdom (reorganization): UCEAP is suspending York and Leeds due to low enrollments. At the same time, UCEAP is subsequently recommending reopening the following programs at the University of London – the Royal Holloway and the School of Oriental & African Studies. UCEAP also proposes to open a new summer option at the University of East Anglia as an alternative to the over-subscribed Sussex program.

## **UCIE Vision Statement for the University of California**

In 2013-14, UCIE also drafted a Vision Statement for International Education at UC (see appendix), and submitted it to Academic Council in late May. Academic Council subsequently endorsed the Vision Statement and sent it to President Napolitano in June. The Vision Statement articulates the fundamental principles of international education and collaboration at the University. UCIE intends that the Vision Statement will serve as a living document that can be adjusted over time and adapted by individual campuses, but also one that nevertheless reminds us of certain core values with respect to advancing internationalization at UC. The Vision Statement is included in appendix one.

## **UC Mexico Initiative**

At its March meeting, UCIE heard a presentation from Provost Aimée Dorr on President Napolitano's Mexico Initiative, which is focusing on student exchanges at the post-doctoral, and undergraduate levels. UC is primarily interested in cultural exchanges, short-term stays, post-doc exchanges, and research collaborations. The Universidad Nacional Autónoma de México (UNAM) is a key partner in this initiative. UC is also putting together a database of the activities that UC campus faculty members are involved in with respect to Mexico (e.g., research and other international activities). For its part, UCEAP is expanding the numbers of its partners in Mexico; waiving its program option fees for Mexico programs; initiating a Mexico scholarship program (25 \$2,000 scholarships); introducing a "Mexico Ambassadors' Program"; targeting heritage students for study abroad in Mexico; engaging UC alumni in Mexico and UCEAP alumni in California to develop additional scholarships; and designing bi-national pre-professional school programs in a number of areas (law, health, etc.).

## **EAP Governance Committee**

Chair Richard Kern and Vice Chair Bjorn Birnir (UCSB) represented UCIE on the EAP Governance Committee.

## **Study Center Directors**

UCIE made recommendations on study center director candidates for positions at France, Italy, Northern Europe, and Spain.

## **2013-14 Formal Reviews**

In 2013-14, UCIE reviewed the programs in Costa Rica/Monteverde, the United Kingdom, and Mexico. UCIE will receive an update on its recommendations from UCEAP at its May 2015 meeting.

### **2013-14 UCIE Formal Review Committees**

Members approved France, Ghana, and Spain to be placed on the slate for the 2014-15 ten year review schedule. In addition, the committee agreed that CIEE Africa – Botswana, Senegal, and Tanzania (to be included with the Ghana review), Pompeu Fabra (with the Spain review), and CIEE Russia should be reviewed as part of the three-year review cycle in 2014-15.

### **Acknowledgements**

UCIE wishes to acknowledge the contributions of its principal consultants – Associate Vice Provost and UCEAP Executive Director Jean-Xavier Guinard, UCEAP Associate Dean Jeff Stopple, and UCEAP Regional Director Linda York. In addition, UCIE wants to thank its representative from Council of Campus Director (CCD), Professor Juan Campo from UC Santa Barbara.

Respectfully submitted:

|                                 |  |
|---------------------------------|--|
| Richard Kern, Chair (UCB)       | Eduardo Macagno (UCSD)                         |
| Bjorn Birnir, Vice Chair (UCSB) | Jyu-Lin Chen (UCSF)                            |
| Bernard Gifford (UCB)           | Ben Crow (UCSC)                                |
| Andres Resendez (UCD)           | William Jacob (Council Chair, ex-officio)      |
| Isaac Scherson (UCI)            | Mary Gilly (Council Vice Chair, ex-officio)    |
| Steve Lee (UCLA)                | Kevin Sabo (Undergraduate Student Rep.)        |
| Virginia Adan-Lifante (UCM)     | Todd Giedt (Senate Associate Director/Analyst) |
| Christina Schwenkel (UCR)       |  |

**UNIVERSITY COMMITTEE  
ON  
LIBRARY AND SCHOLARLY COMMUNICATION  
2013-2014 ANNUAL REPORT**

**TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

The University Committee on Library and Scholarly Communication (UCOLASC) met in person two times and once by teleconference in the 2013-2014 academic year to conduct business in accordance with its charge, outlined in [Senate Bylaw 185](#), to advise the president about the administration of University libraries and issues related to innovations in forms of scholarly communication. Highlights of the committee's major activities are outlined briefly below.

**Data Sharing Plans**

UCOLASC is monitoring the implementation of the White House Executive Order of May 2013 that requires federal agencies to have plans to make research publicly available.. Without documentation and data management plans, the reproducibility of research becomes very difficult. The issue of costs is a confusing one as it is often unclear who will cover the costs of data preservation and this mandate spells out a role for the public sector in preserving data. Additionally, researchers hear about the data management plan requirements but are unsure about how to comply. Consultants from the California Digital Library have provided the committee with detailed information about the Curation Center program, known as UC3.

UC3, in cooperation with the UC libraries, considered how best to help researchers meet the data sharing requirements and created a number of tools. Tools include the data management planning tool that CDL developed with several other institutions which walks people through the process of developing a plan. Over six thousand researchers at eight hundred institutions are using the data management planning tool. CDL has received a Sloan Foundation grant to develop the next generation of the tool. A valuable feature of the tool is that it will be configured with information from each campus. The tool allows users to create a data management plan to respond to funding requirements and it will include local information. UCOLASC will continue to monitor the utilization of the data management tool and other developments at the Curation Center.

**Open Access Policy Implementation**

At each meeting this year, the committee received an update about the implementation of the open access policy from the CDL Director of Publishing. The required deposits were implemented for UCSF, UCI and UCLA in November using CDL's manual publication harvesting tool. The automated publication harvesting tool is the next phase of implementation. [Simplectic](#) is the vendor selected by the CDL and their tool is called Elements. UC will be the second U.S. institution using the Elements system but the company is well established in the U.K and Australia.

UC will be licensing the harvesting system but it will be hosted locally, and the harvester will be linked to the campus payroll systems and to eScholarship. The robust tool will also be integrated with the waiver and embargo tools. Faculty will receive a prompt to upload the appropriate version of the paper but the metadata will already be there. The CDL will look at the use of the harvesting tools across different disciplines. The harvester will be capable of searching for publications that pre-date the implementation of UC's policy. This system could ultimately function as a publication information hub and feed into and harvest from a multitude of sources with information about what faculty are producing. The data available so far reflects low participation rates for deposits, underscoring the need for more education for faculty. Strategies to increase participation include outreach especially at campuses not in this implementation phase, and local FAQs are being developed at campuses. Faculty also need to be informed about how they will benefit from depositing their work. CDL is working with UCSF to create a decision tree that will help faculty understand the process. UCOLASC learned that over three hundred letters were sent out to publishers notifying them about the policy. As CDL receives more responses from publishers about the

policy, it will compile a list of “friendly” publishers. That the CDL has not heard back from the majority of publishers may be a positive sign that the policy is not problematic for them.

The CDL submitted a six-month review report to UCOLASC in June and the committee’s feedback will be produced in the Fall. The second phase will respond to the full year of review and will provide a picture of what has happened over several months. It would look at how well the system is being used including how much the tools are helping faculty, faculty satisfaction, and ease of use. A three-year review will look at issues such as the faculty response to the process. It should be noted that UCOLASC is concerned that, as of April, the funding to extend the harvesting tool to the campuses not in the pilot had not yet been approved by the Office of the President, while the CDL budget has been cut by roughly 2%.

### **Update on Journal Negotiations**

UCOLASC received regular updates on the status of journal negotiations from Ivy Anderson, Director of Collections at the California Digital Library. The libraries spent \$37 M on systemwide content licenses in 2012-13 (\$30M from the campuses and \$7M from CDL). Current expenditure breakdown: journals are 71%, databases are 18%, 3% are one time purchases, 7% are eBooks (a growing part of the portfolio) and scholarly communication support is 0.4%. One time purchases are often of historical resources that have high price tags. The CDL and UCOLASC are aware of the concerns at the campuses about a number of journals not licensed systemwide because of the dispute with Nature Publishing Group. NPG is reportedly exploring open access with some of its journals but is not looking at anything like the model discussed with UC several years ago. In addition, the CDL representatives suggested that NPG realized that it cannot increase UC's rates as significantly as it proposed in the past. The committee would like to explore strategies to make journal pricing sustainable to UC.

A new agreement with Elsevier for 2014 to 2018 was announced in April and the contract includes a one time purchase of eBooks. The CDL discussed possible ways that Elsevier can support UC's open access policy and they will continue to examine ways this can be done. Student feedback given to one committee member about eBooks has been fairly negative. The committee discussed the usage of eBooks and Director Farley reported that the CDL has not purchased many eBooks at the systemwide level.

### **UC Open Access Presidential Policy Task Force**

The Senate recommended to the administration that the open access policy should become presidential policy and a task force chaired by UCOLASC’s Immediate Past Chair, Chris Kelty, worked on this during the year. The new Presidential policy will not override the Senate policy. One reason to have a presidential policy is that a commitment from UC is required in order to ensure that resources are available to the CDL to host the materials and create a mechanism for uploading the materials. The second reason is that it is not only Senate members who publish, so these other types of authors should be able to defend their rights. The draft was submitted to the Academic Planning Council in June. The goal is to release the policy for a ninety day systemwide review in March. One question is whether UCOP will provide more funding to the campuses if this becomes a Presidential policy. Currently the provost is funding the harvester with other costs being absorbed by the CDL and the libraries. From the CDL’s perspective, the technical infrastructure will be no different, but it will simply be used by more people as a result of the policy being expanded. The CDL’s request for funding for more library staff was reportedly not approved because the chancellors would prefer that funding from UCOP not be earmarked and the pilot phase will be used to determine the impact on campus library resources.

### **Joint Meeting with University Librarians**

UCOLASC met with the University Librarians in February to discuss common topics of interest, including open access and the CDL budget.

### **Other Issues and Additional Business**

In response to requests for formal comment from the Academic Council, UCOLASC submitted views on the following:

- President's Policy on Copyright and Fair Use

### **Campus Reports**

UCOLASC devoted part of each regular meeting to member reports about issues facing divisional Senate library committees. In these discussions, faculty members touched on library budget and space issues.

### **Committee Consultations and Acknowledgements**

UCOLASC acknowledges the contributions of its administrative consultants and guests. The committee benefited from consultation and reports from University Librarians Convener Lorelie Tanji (UCI), CDL Executive Director Laine Farley, CDL Director of Collections Ivy Anderson, CDL Director of Publishing Catherine Mitchell, and Librarians Association of the University of California President Nick Robinson (UCB). UCOLASC also consulted the Academic Senate chair, vice chair, and executive director about issues facing the Academic Senate.

Respectfully submitted:

Roberto Manduci, Chair (SC)

Maxine Craig (D)

Ruth Mostern (M)

Eric Backovic (SD)

Luca De Alfaro (SC)

Patricia Mcdaniel (SF)

Francis Steen, Vice Chair (LA)

Edward Dimendberg (I)

Joseph Morse (R)

Russell Cucina (SF)

Thomas Shannon (B)

Candace Waid (SB)

Bill Jacob ((SB), Chair, Academic Senate, *Ex Officio*)

Mary Gilly ((I), Vice Chair, Academic Senate, *Ex Officio*)

Brenda Abrams, Principal Analyst

## UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB) ANNUAL REPORT 2013-2014

### TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Planning and Budget (UCPB) held ten regular meetings in Academic Year 2013-14 to conduct business with respect to its duties to advise the President and other University agencies on policy regarding planning, budget, and resource allocation as outlined in [Senate Bylaw 190](#) and in the *University-wide Review Processes for Academic Programs, Academic Units, and Research Units* (the “[Compendium](#)”). UCPB also scheduled additional teleconferences between regular meetings to address specific issues. The major activities of UCPB and the issues it addressed this year are outlined briefly, as follows:

#### MONITORING STATE BUDGET NEGOTIATIONS

Senior leaders from the UCOP Budget Office and Office of Business Operations joined each UCPB meeting to update the committee about the progress of budget negotiations in Sacramento, budget contingency planning, capital projects, tuition policy, proposed performance outcome measures, and other UC-specific budget matters. Administrators briefed UCPB on their efforts to inform and educate legislators and Regents about UC’s cost-saving projects, options for adjusting cost drivers and revenues, and the critical need for new revenue to maintain quality. UCPB members emphasized the ongoing need for UC to educate policymakers about higher education issues and to encourage policymakers to take a long-term view of UC’s needs. In time, changes to state term limit laws might have a positive impact for UC. UCPB joined the Academic Council in calling for greater protections and support for UC’s research mission, especially after years of budget cuts. This demonstration is critically important given other policy changes that allow UC to invest in faculty start-ups, for example.

#### CAPITAL PROJECTS FUNDING

At its first meeting of the year (Oct 3) UCPB learned of a proposal for a new project that would apply a portion of UC’s allocation of state funds to address some of the universities capital needs. This project, motivated by a capital projects backlog on the campuses and the medical centers of about \$1.2b, employs a provision of AB 94 passed in June 2013. This bill authorizes such use of funds, overturning what had been a longstanding ban, and specifies a process for the review and approval of particular projects by the state Public Works Board and Legislature. UCPB developed a set of four principles that it recommended should guide the program. These addressed the overall scope of the program and limits to the financial risk to the institution; priorities for selection of particular projects (e.g., focusing on capital renewal and safety, and academic and research quality in existing programs (both in accordance with existing Academic Senate positions outlined in the 2010 Choices Report) and investing in UC Merced); administration at the systemwide level to ensure equitable use of the funds, to maximize leverage of campus funds and to ensure campus adherence to systemwide priorities; and timely annual Senate review of both the scope and specific list of new projects. UCPB’s principles were formally endorsed by the Academic Council and communicated to the administration. In subsequent consultation with UCOP Budget Office and Office of Business Operations, the committee was assured of the administration’s agreement with these principles. However, a list of new projects for the 2015-2016 fiscal year has led to renewed concern whether, or to what extent, these principles will be applied in actual practice.

## **ENROLLMENT MANAGEMENT**

The budget reforms adopted by the University in 2011-2012, and in particular the rebenching formula that is designed to equalize the allocation of state funds to the campuses on a per student basis, were predicated on the expectation that UCOP would develop and manage a systemwide plan for the enrollment of California undergraduate students, and for graduate and professional students. In August 2011, the Academic Council adopted unanimously a set of principles (Implementation Task Force Report, July 2011), which were forwarded to UCOP as the Senate's recommendations to guide enrollment management. Among these were that the plan ensure that the University would enroll the number of California residents that the state considers funded and would assign enrollment targets to the campuses to ensure its obligations under the Master Plan, that incentives for campuses to overenroll California residents as unfunded students be reduced, and that allocation of state funding would adjust, particularly as individual campuses evolve and differ to the extent in which CA residents are supplemented or replaced by non-residents. In the three years since these recommendations were forwarded and rebenching implemented, no systemwide enrollment plan has been developed. As a result, rebenching allocations for the 2012-2013, 2013-2014 and 2014-2015 budget years, have been based on 2011-2012 budgeted enrollments.

Enrollment management is a pressing issue that has been an agenda item of every meeting of UCPB this year. UCPB has continuously pressed UCOP to develop the necessary comprehensive, systemwide enrollment management plan, administered by UCOP, as necessary to successfully implement rebenching. UCPB has reiterated that Funding Streams has increased the financial incentives for campuses to enroll nonresidents, to under-enroll resident undergraduates, and potentially to convert state-funded professional programs to self-supporting status. UCPB considers it critical for UCOP to establish a process for working with campuses to set – and enforce – campus by campus undergraduate enrollment targets including some necessary growth to ensure that UC continues to meet its Master Plan obligations. As of August, UCOP had not yet formulated a long-range enrollment plan, even though one is overdue. UCOP again assured UCPB that it would be reviewing long-range enrollment plans from the campuses over the summer to determine a systemwide enrollment level that is consistent with the Master Plan and current state funding, and would share a final enrollment plan with UCPB in the fall, 2014.

UCPB believes it is critical for UC to establish an appropriate enrollment funding bench-line with the state that accounts for the reduction in state funding and communicates the real cost of educating a student at a UC-quality level. UCPB sought more information about the formula UCOP and the state use to determine the per-student marginal cost of education and to calculate the number of “funded” or “unfunded” students. UCPB encouraged UCOP to help prepare a clear description of these concepts and labels, and to determine the actual number of unfunded students and the real cost of a funded student. Finally, UCPB has disagreed with UCOP that an enrollment plan is a necessary pre-requisite to the development of a long-range tuition policy. The committee has advocated for a tuition policy with moderate annual increases (recommended at 5%) whether or not an enrollment plan is implemented. It also strongly opposed including cohort pricing in the tuition plan.

## **GRADUATE EDUCATION**

University support for graduate programs also received much discussion by UCPB this year. The administration continues to develop guidelines to govern self-supporting graduate and professional degree programs (SSGPDPs) and to determine when increases in professional degree supplemental tuition (PDST) are appropriate. UCPB supported the Academic Council position that new SSGPDPs should clearly demonstrate how self-supporting status will bring unique advantages to the program

should show how they will mitigate deleterious impacts on state-supported programs. The committee remains concerned that resources will be shifted to “revenue generating” programs at the expense of academic quality, and the committee still calls for greater financial oversight to preclude and address potential conflicts of interest. UCPB also opined that, while generally supportive of new guidelines governing PDST, they would benefit from clearer process mapping and tighter language specifying which licensure-related programs are covered under the policy.

This spring, UC Irvine hosted a conference on graduate student support, UCPB looks forward to evaluating specific proposals being drafted by Provost Dorr’s office. The committee encouraged development of specific proposals to address non-resident supplemental tuition (NRST), funding for academic PhDs, and graduate student fellowships. Amid calls for increasing certificate programs and expanding Masters programs to increase tuition revenue, these issues must be addressed head-on going forward.

### **COMPOSITE BENEFIT RATE PROPOSAL**

UCPB received several briefings from UCOP and Senate leaders about a UCOP plan to move to a simplified Composite Benefit Rate billing system. Significant concerns from UCPB and other Senate committees about the proposed treatment of summer salary, sabbaticals, and “y” salary in the proposed composite rate formulas led to important changes in the plan. Led by Academic Council Chair Bill Jacob, the Senate successfully lobbied President Napolitano to adopt the Senate’s recommendations regarding the number of rates to be offered and how the predetermined groups would be assigned. Final recommendations to minimize fund shifts and administrative difficulty for Health Sciences Compensation Plan (HSCP) members are still being drafted.

This event illustrated well the importance of Shared Governance. Council Chair Jacob worked closely not just with Senate constituents from across the system, but with several chancellors to develop and explain the complicated issue and why the Senate alternative was preferable. Without the wider conversation and thorough analysis enabled through Senate consultation, the plan would be significantly less revenue neutral and nuanced. By analyzing data directly and constructing alternative options, the Senate was able to illustrate how and why the initial administration proposal would be unfair to some employees and fund sources – and how that unfairness could be alleviated, if not removed.

### **Employer Contribution to UCRP**

UCPB expended considerable effort considering how best to balance competing needs for university funds to support the retirement plan on the one hand while addressing the needs of its regular programs on the other. As background, UCRP has accrued an unfunded actuarial liability of approximately \$12b, a legacy of an 18-year contribution holiday and market downturn starting in late 2007. The Regents approved a policy to amortize the unfunded liability over 30 years while fully funding new retirement obligations. To meet this policy, UC has ramped up employee contributions to 8.5% in fiscal 2014 and beyond, and planned 2% annual increases to the employer contribution from 10% in 2012 until it would reach a maximum of 18% for 2016 and beyond. Many University administrators, prominently among the campus EVC’s and medical center directors, have raised significant objections to such a high contribution rate due to the effect on their operating budgets with many calling for a cap on the employer contribution rate at 14%.

UCPB considered a proposal from the University Committee on Faculty Welfare (UCFW) and its Task Force on Investment & Retirement (TFIR) to increment the employer contribution by an



additional approximately 2% to fund the debt service on a loan from STIP to UCRP to immediately lower the unfunded liability to approximately \$10b. The University conducted similar transactions in 2011 and in 2012. UCRP analyzed projections from Segal & Associates commissioned by UCFW, which modeled the effect on future contribution rates. UCPB considered the rapid increase in STIP & TRIP funds over the past five years, reviewed a report via CFO Peter Taylor from his Reserves Task Force on University liquidity and reserve needs, and consulted with AVP Sandra Kim on potential effect of borrowing on University bond ratings. Based on its analysis, UCPB found a compelling case for borrowing in protecting the University's operating budget from future increases in the required UCRP contribution rate. UCPB delivered a statement in support of borrowing that was endorsed by the Council and submitted to the administration with the UCFW's proposal. The administration subsequently presented to the Regents a proposal to borrow \$700M from STIP to reach Modified ARC to UCRP for 14-15. This is approximately half the amount outlined in the TFIR plan, with a second increment being considered for next year. UCPB will continue to advocate for the second year installment.

#### **CONSULTATIONS WITH THE CHIEF FINANCIAL OFFICER (CFO) DIVISION**

The Chief Financial Officer and his staff provided UCPB with regular briefings about a variety of finance programs and projects managed by the CFO Division. These included the refinancing of university debt obligations, in particular lease-revenue bonds that were transferred to the University by AB 94, the use of interest rate swaps to hedge debt payments and investment returns on endowments.

The CFO division also handles risk and risk abatement programs. This year, UCPB learned about two new programs in this area: UC Care and Fiat Lux. UC Care is UC's latest venture into the self-insurance market for health care. Rather than pay a private insurance company, UC Care allows the UC to pay claims from premium dollars it receives; if the plan works as envisioned, UC would save several millions of dollars and perhaps monetize the program by offering it to other statewide employers, like the CSU system. UCPB, however, has many concerns about the program which are yet to be allayed. The plan attracted an older and sicker population than envisioned, which could cause costs to spike if the enrollment pattern does not change. The financial goals of the program remain ill-defined, and UCPB continues trying to disentangle the conflicting roles and responsibilities of the CFO division, Human Resources, and University's health system: CFO division wants to lower the University expenditures on health care; Human Resources is charged to ensure employees are satisfied and receive quality care; and the health system seeks to create revenue. How to accomplish all three goals under a single plan simultaneously remains unclear.

2013-14 marked the second year of operation of Fiat Lux, UC's captive insurance company. Because UC has such a large physical plant, workforce, and health system, UC faces extreme insurance costs in the open market. Prior to Fiat Lux, the market in which UC did business was limited to primary insurers. But because Fiat Lux is a reinsurance model, UC now has access to the re-insurance market, as well. This change is beneficial because it lowers the costs of securing insurance and limits UC's financial risk exposure by limiting excessive cash payouts. Fiat Lux currently has reserves of \$26M in STIP, but other investment opportunities are being explored.

#### **CONSULTATION WITH THE CHIEF INVESTMENT OFFICER**

In the spring, UC hired a new Chief Investment Officer, and removed Treasurer from the office and title. UCPB met with CIO Bachher to discuss his financial and personnel management philosophies, and to introduce him to Shared Governance. The committee discussed current efforts to have UC

divest from fossil fuels, noting concerns about financial impact, whether the University should use its Bully Pulpit, and how subsequent calls for divestment in other areas should be handled. The committee was supportive of his proposal to develop and apply ESG principles to guide University investment decisions. The committee also discussed potential changes to UC's investments in venture capital areas as a result of the President Napolitano's interest in direct investment in University startups, and rescission of guidelines preventing this practice. UCPB has significant concerns about potential unintended effects on the University's research mission and graduate education. It will continue to monitor the development and implementation of both ESG principles and policies to guide direct investment, and the performance of such efforts.

## **CAMPUS REPORTS**

UCPB set aside a portion of most meetings to give members a chance to discuss local issues and concerns, including those related to rebenching and funding streams, online education, self-supporting programs, enrollment planning, nonresident enrollment, UCPath, and faculty and student retention issues. Committee members also spent time comparing the charges, characteristics, and activities of their campus Planning and Budget committees, their access to different kinds of budget data, and their involvement in budget and planning decisions. There was interest in updating and revising a survey about local committee practices.

## **OTHER BRIEFINGS**

- Cost of Instruction Modeling: UCPB received several briefings from AVP Obley, Vice President of Institutional Research Pamela Brown and Dir Greenspan on UCOP's progress on developing a defensible model for the University's cost of instruction as mandated by the 2013 state budget bill passed by the legislature. This bill requires biannual reporting of the cost of instruction at the University as distinct from funds expended on non-instructional activities. An initial report, due Oct 1, 2014, requires these costs to be disaggregated by undergraduate vs. graduate and professional instruction. Subsequent reports are to be disaggregated by undergraduate discipline, in particular STEM vs non-STEM. A number of models have been considered and further developed and considerable effort has been expended on how to allocate shared costs. UCPB expects to offer its guidance on these issues in the upcoming academic year.
- Performance Metrics: UCPB has received several briefings on efforts by UCOP to report on performance metrics as mandated by state budget law, and to develop alternatives to the metrics mandated. These metrics consist largely of retention and graduation rates, and mean time to degree – metrics in which the University excels in comparison to our peers among AAU universities, but which are considered more appropriate metrics for a class one research university.
- Online Education: UCPB heard that UCOE and the new Innovative Learning Technology Initiative (ILTI) may merge going forward. UCOE has spent its \$10M allotment and developed 39 courses from it. Significant remaining obstacles are how to accurately bill participant campuses, how to accurately advertise the courses and their prerequisites, and how to ensure that accurate reports reach registrars. UCPB noted that best practices could be learned from UC's education abroad program. The committee will continue to monitor this topic.
- Systemwide Research Expenditures: UCPB received two briefings each from Steven Beckwith, Vice President of Research & Graduate Studies and from Provost Dorr on the recent history of central funding for systemwide and multi-campus research, the activities of the Portfolio Review Group that Beckwith commissioned to assess the effectiveness of all such research activities, and the future plans and organization for VP's Beckwith's position

and systemwide research activities. Based on the recent history of systemwide research funding and the lack of clear commitment for a vice president level position whose duties would be to administer and promote research (as opposed to technology transfer) activities, UCPB joined UCORP and subsequently the Academic Council in advocating to President Napolitano a renewed commitment and to systemwide research with substantial restoration of historical funding for these activities.

- Total Remuneration: UCPB was briefed at its August meeting by Vice Provost Susan Carlson on the just released results of the total faculty remuneration study. In the discussion that followed, members of the committee expressed strong support for adjusting the faculty salary scales such that academic merit as recognized by the scales would once again be recognized by competitive salaries.

## UCPB REPRESENTATION

Chair Don Senear represented UCPB at the Academic Council, the Academic Assembly, the Academic Planning Council, and the Provost's Budget Advisory Group. He also served on the UC Education Abroad Program Governing Committee and was Chair of Finance Committee for UCEAP. UCPB Vice Chair Gary Leal served on the Academic Council Special Committee on Agriculture & Natural Resources, continued to represent UCPB on the Technology Transfer Advisory Committee (TTAC), and was also a member of the UC Education Abroad Program Governing Committee. UCPB was represented on the Academic Council Special Committee on Laboratory Issues by Bernard Sadoulet.

## ACKNOWLEDGMENTS

UCPB is grateful to the following committee consultants and guests for their valuable contributions: Vice President Patrick Lenz, Associate Vice President Debora Obley, Operating Budget Director Clif Bowen, and Principal Analyst Elisabeth Willoughby from the Office of Budget and Capital Resources; Provost Aimée Dorr; Todd Greenspan, Director of Academic Planning, Pamela Brown in the Office Institutional Research and Academic Planning, Vice Provost Susan Carlson and Vice President of Research & Graduate Studies Steven Beckwith; Executive Vice President Nathan Brostrom from the Office of Business Operations; Chief Financial Officer Peter Taylor; Director of Pension and Retirement Programs Gary Schlimgen; Paul Angelo from Segal Consulting; Associate Vice President and Systemwide Controller Peggy Arrivas; Special Assistant to the Executive Vice President Kate Jeffery and Director of Student Financial Support David Alcocer.

Respectfully submitted:

|  |  |
|--|--|
| Donald Senear, <i>Chair</i> (UCI)        | Sam Buss, San Diego                          |
| Gary Leal, <i>Vice Chair</i> (UCSB)      | Sharmila Majumdar, San Francisco             |
| Bernard Sadoulet, Berkeley               | Matt Begley and Michael Stohl, Santa Barbara |
| Christopher Reynolds, Davis              | Daniel Friedman, Santa Cruz                  |
| Abel Klein, Irvine                       | William Jacob, <i>ex officio</i>             |
| Shane White and David Sears, Los Angeles | Mary Gilly, <i>ex officio</i>                |
| Anne Myers Kelly, Merced                 | Michael LaBriola and Kenneth Feer, Analysts  |
| Ken Barish, Riverside                    |  |

## **UNIVERSITY COMMITTEE ON PREPARATORY EDUCATION ANNUAL REPORT 2013-2014**

### **TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

During the 2013-14 academic year, the University Committee on Preparatory Education (UCOPE) met twice and the UCOPE-EMS (English for Multilingual Students) Advisory Group met once. Both groups considered matters in accordance with their duties as set forth in Senate Bylaw 192, which states that UCOPE shall advise the President on matters relating to preparatory and remedial education (including the language needs of students from diverse linguistic backgrounds); monitor and conduct periodic reviews and evaluations of preparatory and remedial education; supervise the University of California Entry Level Writing Requirement; monitor the development and use of placement examinations in mathematics; and work with BOARS to communicate these standards to all high schools and colleges in California.

A summary of the committee's activities and accomplishments follows below:

### **Review and Selection of Analytical Writing Placement Exam (AWPE) Essay Prompts**

Under the leadership of consultant George Gadda, UCOPE members selected the essay to be used in the 2014 UC-AWPE administration, in accord with Senate Regulation 636B.1. This annual event involved UCOPE members reviewing sample essays to ensure that norming procedures used in evaluation of the exam would be consistent with SR 636A and SR 636B.1. Julie Lind, AWPE Coordinator, Undergraduate Admissions, reported that the program is expected to remain in good financial health. The exam revenue will continue to slowly drop as the number of test takers with fee waivers slowly rises. Income last year was down \$30K from the previous year. The number paying the full fee is still under 50% but it is not decreasing rapidly. It was noted that over 4000 exams were given on campus this year, up from 3600 the year before. The number of exams has gone up as expected with the increased focus on international students.

### **Transfer Issues**

In November, President Napolitano announced the formation of a team charged with recommending ways to both raise the number of students who transfer to UC from community colleges and improve their success at the university. The team was led by Provost Aimée Dorr and co-chaired by Judy Sakaki, UC vice president of student affairs, and George Johnson, chair of UC's Board of Admissions and Relations with Schools. It included the chairs of UCOPE and UCEP, a former transfer student, and a number of campus leaders in transfer services across the system as well as key individuals at UCOP who would conduct research and implement the plan. The team was divided into four areas: admissions and articulation, outreach and preparation, transitions and orientation and enrollment growth and impact. Chair Frank briefed the committee on the team's progress and the team's report "Preparing California for its Future: Enhancing Community College Student Transfer to UC" was presented to the Regents in May. UCOPE will monitor the implementation of the team's recommendations.

### **AP Credit**

Last year, UCOPE surveyed the campuses to see if there is uniformity in following Senate regulations in terms of the writing requirement. The regulation requires campuses to count SAT, AP and other tests towards the satisfaction of the Entry Level Writing Requirement even if the students have failed the AWPE. UCOPE found that AP scores were appropriately used on all campuses to exempt students from lower division writing requirements that satisfied the ELWR. However, the committee was concerned that some of the campuses reported exempting students from other non-ELWR and upper division writing courses. The committee agreed to investigate this matter with UCEP and Chair Frank discussed this matter with the Educational Policy committee in April and May, and UCEP agreed to take the lead on this

matter. A draft memo was approved by UCOPE and UCEP and forwarded to BOARS in June for feedback. [Query: Was the UCEP memo not forwarded to Academic Council for possible review/action by the divisions?]

### **English Content Expert Workgroup**

The International Baccalaureate (IB) English language exams used to satisfy UC's Entry Level Writing Requirement (ELWR) were changed in 2013. UC was initially notified that only the names of the exams were changes. However, the campuses eventually became concerned about whether there were more substantive changes. [Please add the use of the English Content Expert Workgroup.] UCOPE was asked by Undergraduate Admissions Director Michael Trevino to consider whether the IB English Language Exams qualify for fulfillment of the ELWR. The new exam is called Language in Literature in the IB. It is not clear whether this new exam will be as demanding as the literature exam and UCOPE hopes to review more samples before making a determination. UCOPE provided the Undergraduate Admissions Department with a memo stating that this new exam counts for the ELWR and nothing else, and that UCOPE accepts the old IB 1A as equivalent to the new IB literature. The memo additionally stated that these IB scores should not be utilized for the satisfaction of other lower or upper division composition courses on the campuses. The memo noted that UCOPE and UCEP will have future discussions regarding the appropriate use of student AP scores beyond satisfying the ELWR. Finally, UCOPE will consider requesting data to review at some time between now and next year to see how the students are performing.

### **SAT Changes and BOARS/UCOPE/UCEP Statement**

In March the College Board announced major changes to the SAT, including a substantial revision to the writing test that was added in 2005 in the last major overhaul of the admissions test. UCOPE reviewed information about proposed changes specific to the SAT English language exam which are to go into effect in about two years. The essay will be optional and two other components of the SAT will be changed. UCOPE discussed previous changes to the SAT and various writing tests over time and it is hoped that there will be opportunities for UCOPE to critically evaluate what is now proposed. UCOPE may have to decide whether to mandate the writing part of the test as part of the score that will be considered as part of the ELWR satisfaction or to go with the two parts and allow the essay score to be added if the student takes it. There is a question about how useful this type of exam is as a general stand in for more general UC expectations of what students will be able to do.

The committee discussed concerns about how the SAT will be scored. UC faculty may find it challenging to know how to interpret the new scores. Faculty will not know what the curve is and useful information will not be available to examine until this exam is put in place. UCOPE looks forward to having the opportunity to review data on the new SAT. Finally, UCOPE may consider meeting with the College Board in the next academic year. To prepare for that discussion, several committee members will draft a series of questions for the College Board including asking about how it will be scored.

### **Validation of AWPE**

UCOPE has previously discussed whether there should be some effort to validate the AWPE in terms of considering what it assesses, how well it does this assessment and if it assesses what UC wants it to. Such a validation has not occurred since the AWPE was designed in the 1980s. AWPE is an assessment for placement that serves specific functions. It is one approach to doing this work but UCOPE has an opportunity to consider the alternatives. The goal is to have information available in time for the committee's January meeting. Several members of UCOPE agreed to investigate the issue of validation, in consultation with the divisional BWP directors.

### **EMS Advisory Group**

As the members noted last year, there has been a change in the student population and instructors have suggested anecdotally that the international students have different needs. Several group members agreed to work together to identify and recommend best practices for things like support services or curriculum.

The Advisory Group resumed its discussion about a multitude of preparatory and assessment issues for the new demographics to which the divisions need to respond. Three members of the group agreed to revisit its earlier white paper and write a preliminary new version for next year with recommendations for best practices for assessments. The group would like to explore whether one campus could develop something that could be used by other UC campuses. Members of the Advisory Group also intend to work on issues related to assessing students' oral skills as well as possible recommendations for providing English language support services to transfer students.

### **UCOPE Representation**

UCOPE Chair Ross Frank represented the committee at meetings of the Intersegmental Committee of Academic Senates. Chair Frank also participated on the President's Transfer Action Team.

### **Acknowledgements**

UCOPE gratefully acknowledges the contributions of these UCOP and campus consultants over the past year: UCLA Writing Program Director and Chair of the Analytical Writing Placement Examination Committee George Gadda, EMS Advisory Group Chair Robin Scarcella and all members of the EMS Advisory Group, Director of Undergraduate Admissions Michael Treviño, AWPE Coordinator Julie Lind, Han Mi Yoon-Wu, Vice President Judy Sakaki, and Student Affairs Coordinator Evera Spears. The committee also thanks the numerous faculty members who, as alternates, kindly represented their respective campuses at UCOPE meetings this year.

Respectfully submitted,

Ross Frank, Chair (SD)  
Marcial Gonzalez (B)  
Bradley Queen (I)  
Suzanne Sindi (M)  
Xiaojuan Li (SF)

Linda Adler-Kassner, Vice Chair (SB)  
Joseph Biello (D)  
Caroline Streeter (LA)  
Eugene Nothnagel (R)  
Bruce Cooperstein (SC)

Bill Jacob ((SB), Chair, Academic Senate, *Ex Officio*)  
Mary Gilly ((I), Vice Chair, Academic Senate, *Ex Officio*)  
Brenda Abrams, Principal Policy Analyst

UNIVERSITY COMMITTEE ON PRIVILEGE AND TENURE  
ANNUAL REPORT 2013-14

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Privilege and Tenure met twice in person and once by teleconference in 2013-14 as well as working through email to carry out its duties under [Senate Bylaw 195](#) to advise on general policies involving academic privileges and tenure and to maintain statistical records on grievance, disciplinary, and early termination cases that are addressed through formal Privilege and Tenure (P&T) processes. In addition to conducting its own business during meetings, the committee consulted extensively with Senior Counsel Cynthia Vroom, the Office of General Counsel's designated attorney advisor to committees on privilege and tenure; the systemwide Senate leadership; and Vice Provost for Academic Personnel and Programs Susan Carlson. Senior Counsel Vroom and Vice Provost Carlson are consultants to the committee.

At each meeting, Committee members engaged in detailed discussions of privilege and tenure processes in their respective divisions providing useful insight and information to all members. Among the topics of discussion were the issues raised by the "Moreno report"; how divisional privilege and tenure committees interact with their respective administrations; the challenges committees face when attorneys for the parties invoke technical legal procedures that are difficult to incorporate into a non-judicial process; the challenging of navigating overlapping jurisdictions between privilege and tenure committees, the academic personnel advancement and promotion process, and campus offices for the prevention of harassment and discrimination; and the need for broad dissemination of information to members of the faculty regarding the privilege and tenure process.

Committee chair Jeffry Lansman served on the Administration-Senate working group convened by the Provost to respond to the Moreno Report on race discrimination experienced by faculty at UCLA, and the committee devoted considerable time to discussing the report in order to develop the comments he contributed to the task force. In follow-up discussions after the task force completed its work, members of the committee identified complex issues to be resolved in negotiating the boundaries between the privilege and tenure process and both campus offices for the prevention of harassment and discrimination and academic personnel committees, including how to manage transitions between cognizant bodies with overlapping but not identical jurisdictions. Members also began to consider whether the privilege and tenure process can help balance unequal power relationship between junior and senior faculty that discourage junior colleagues from making complaints.

The committee continued its consideration of how to clarify the use of evidence in cases that involve allegations about conduct that is made worse by repetition over time in the context of the Bylaw-based "three-year rule" that bars bringing either a grievance or discipline case more than three years after the grievant or the administration was informed about it. Although some members of the committee consider the three-year rule unduly restrictive for grievants who may learn only retroactively that they have been subject to some form of chronic discrimination, the committee was not ready to

recommend a change in the relevant Bylaws. The 2013-14 committee recommends that the 2014-15 committee continue to discuss the related issues.

As part of its ongoing effort to address the need for better understanding of how the privilege and tenure process can be a resource for all faculty, the committee completed a letter of advice to department chairs on how they can use the privilege and tenure process to help fulfill their responsibilities for nurturing an inclusive climate within the department. Committee Chair Lansman sent the letter to the Chair of the Academic Council with a request that it be distributed to the division chairs for further distribution to department chairs in Fall 2014.

UCP&T opined formally on the proposed revision to APM 210-1.d. Although formal systemwide review was postponed until Fall 2014, the 2013-14 committee invested significant thought into its response and wished to put its views on the record.

Committee members recommended that future committees consider drafting a Privilege and Tenure Manual for all campuses and identified major components that could be included in such a manual.

Members of UCP&T found the opportunity to discuss procedural and substantive issues that arise in the context of confidential privilege and tenure proceedings to be an invaluable support for the work they do in their divisions. Given the confidential nature of privilege and tenure proceedings and the resulting lack of records that can be reviewed by colleagues outside a particular process, the committee's discussions are an important venue in which to ensure that each divisional committee approaches its work with a consistent understanding of what the governing Bylaws mean.

Respectfully submitted,

Jeff Lansman, Chair (UCSF)  
Robert Hillman, Vice Chair (representing UCM)  
Vern Paxson (UCB)  
Michael J. Buchmeier (UCI)  
Juliana Gondek (UCLA)  
Helen Henry (UCR)  
Stefan Tanaka (UCSD)  
Daniel Weiss (UCSF)  
Allison Butler (UCSB)  
Gina Dent (UCSC)



## **UNIVERSITY COMMITTEE ON RESEARCH POLICY ANNUAL REPORT 2013-14**

### **TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

The University Committee on Research Policy (UCORP), as specified in Senate Bylaw 200, is responsible for fostering research, for formulating, coordinating, and revising general research policies and procedures, and for advising the President on research. During the 2013-14 academic year, UCORP met eight times, seven times in person and once via videoconference. This report briefly outlines the committee's activities.

### **RESEARCH POLICY ISSUES:**

#### **1. Multi-Campus Research Unit (MRU) Guidelines in The Compendium**

In continuation of a project begun in 2009-10, the Academic Council charged the 2010-11 UCORP to undertake a revision of The Compendium section on MRUs. That UCORP worked to disentangle the many types of research entities, a complex project in which they were assisted by the Research Grants and Program Office (RGPO) in the Office of Research and Graduate Studies (ORGS), led by Mary Croughan and aided by Kathleen Erwin, who provided detailed information about extant multi-campus research entities. The 2010-11 UCORP then drafted guidelines for MRU administration; those guidelines were approved by the Academic Council.

The 2011-12 UCORP was tasked to translate the guidelines into policy language for inclusion in the revised Compendium. Senate Associate Director Todd Giedt drafted the first revision to the Compendium with minor revisions suggested by UCORP members. The final round of editing in 2011-12 sought to ensure that the revision would match new multi-campus research funding procedures initiated by ORGS as well as that the revision would be compatible with new oversight mechanisms.

The 2012-13 UCORP forwarded the draft MRU Compendium language to the Academic Planning Council for discussion and further comments. After jointly revising the draft for clarity, brevity, and additional technical changes, the Compendium went for final review this year. The 2013-14 UCORP supported the work of its predecessors, but the Academic Council did not. Campus respondents opposed the new threshold of three campuses for MRUs, and did not find the document adequately explained the differences between MRUs and MRPIs. Campus respondents also called for an increased role for the Senate in determining which multi-campus research projects are approved. The 2014-15 UCORP will be asked to redraft this section.

#### **2. Composite Benefit Rates**

In an effort designed to make billing to federal funders easier, the Chief Financial Officer Division proposed the use of composite benefit rates, wherein employee benefits would be determined by class or category, rather than on an individual basis. Much discussion focused on the proper number of categories, especially for employee groups that receive differential benefits and for faculty summer salaries which are not considered covered compensation for the University of

California Retirement System (UCRS) calculations. UCORP expressed concerns early in the process that research grants would be charged higher benefit rates under the proposed changes without providing any actual increased benefits to Academic Senate members.

Senate participants in the conversation were deeply involved in iterative drafts with CFO personnel, and in the end, the President adopted the Senate's recommendation. Although more work remains in order to determine the best composite groups for Health Sciences Compensation Plan members, the available rates minimize fund disruption significantly more than the plans proposed by the administration. The process illustrated the valuable role the Senate can play in developing new practices and demonstrated how successful Shared Governance can be.

3. Open Access

This year, the University's new Open Access policy went into effect. The University Committee on Library and Scholarly Communications (UCOLASC) developed the proposal that encourages all UC faculty to submit their research findings into an open access repository maintained by the California Digital Library. Open Access is dedicated to the idea that publicly funded research should be accessible by the public without obstacle. Past UCORPs responded by supporting the goal of the project, but suggested easing the burden on faculty members for deposition research articles and to allow greater flexibility for disciplines where open access represents a paradigmatic shift. Previous UCORPs also sought greater protections for the copyrights of deposited materials and clear guidance regarding the citation/inclusion of previously copyrighted materials in open access research.

The Open Access Policy has been in effect for one year, and the 2014-15 UCORP will monitor the impacts of the policy on research procedures.

4. Indirect Cost Recovery

President Napolitano declared the University's intent to recover fully indirect costs, and ORGS announced that it would no longer accept class waivers for indirect costs. Additional changes to UC's ICR policy may come to UCORP in the future.

5. Technology Transfer

President Napolitano rescinded UC's Industry-University Guidelines, in part to streamline the technology transfer process and to allow UC to invest directly in faculty start-ups. UC may now also accept equity for incubator access. Full guidelines for the new policies are still being developed, and UCORP will evaluate them carefully.

UCORP and the Academic Council are concerned that the University is pursuing entrepreneurial research (and other policies) in an effort to off-set state disinvestment, but without adequate Senate consultation. UCORP worries that because academic excellence is not the driving factor, negative unintended consequences could arise, such as a diminished appreciation for academic

freedom and basic research in favor of commercial and monetary gain. UCORP concerns are underlined by personnel changes in the Office of the President and Presidential actions in other areas.

6. Student Researcher Issues

UCORP heard regular reports from its graduate student representative about issues facing student researchers and their approach to addressing them. Discussions on graduate student researcher unionization, post-doctoral scholar bridge funding, and career training and transition services all benefited from being informed by the student perspective. Graduate Student Represent Muir also helped the committee understand how lab safety standards and expectations can be best communicated.

**RESEARCH PORTFOLIO:**

1. Portfolio Review Group (PRG)

The PRG is a joint Senate-Administration group that was charged to advise the Vice President for Research and Graduate Studies on the portfolio of research enterprises centrally funded at UC. PRG was tasked to evaluate UC's research investments for academic breadth, depth, flexibility, and vitality. UCORP contributed to the creation of the Portfolio Review Group in 2011-12. During 2012-13, UCORP Chair Kleeman nominated Academic Senate members to serve on the PRG and met with the newly appointed PRG Chair to provide an Academic Senate perspective on the history and purpose of the PRG. In 2013-14, PRG issued its recommendations in two parts. The first part focused on research projects with fungible monies, and the second part focused on projects with restricted funding. PRG found that the programs that are most likely to advance knowledge and lead to new research topics are also the programs that are most at risk for being defunded or underfunded.

In response, and in recognition of the facts that OP has disproportionately cut research programs and that across-the-board cuts disproportionately impacted research programs, UCORP worked with the University Committee on Planning and Budget (UCPB) to develop an argument for a guaranteed minimum level of central research funding. A visible institutional commitment to basic research into new scientific and social areas and the benefits that research brings is needed, especially for a public research university charged to be the research arm of the state. That research quality is imperative for faculty and graduate student recruitment and retention, and thereby for a quality undergraduate academic experience, must be reflected in institutional actions.

2. Agriculture and Natural Resources (ANR)

During 2011-12, the Academic Council created the Academic Council Special Committee on Agriculture and Natural Resources (ACSCANR), comprised of representatives from impacted divisions, UCORP, and the University Committee on Planning and Budget (UCPB). Vice-chair Brouillette represented UCORP on ACSCANR during 2013-14 and reported that the extension specialists may soon renew their efforts to achieve Senate membership or equivalent status.

3. Department of Energy National Laboratories

UCORP was also represented on the Academic Council Special Committee on Laboratory Issues (ACSCOLI) by Chair Clare. ACSCOLI monitored the establishment of second campus for the Lawrence Berkeley National Lab and still unresolved issues relating from the conversion of the Lawrence Livermore and Los Alamos labs to LLC management. Of particular concern to ASCOLI were the restrictions imposed on the Labs concerning travel. These were originally proposed by OMB, but recent efforts in Congress are attempting to codify and to make them even more stringent. ACSCOLI has worked together with the Academic Council to ask Senators Boxer and Feinstein to help.

**SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE REPORT:**

In addition to the above, UCORP responded to requests for review of several policies and white papers on a range of topics with systemwide import:

- Proposed Amendments to Senate Bylaw 55 (Departmental Voting Rights)
- University Policy on Copyright and Fair Use

**UCORP REPRESENTATION:**

UCORP members participated on the following systemwide bodies during the year: Academic Assembly (Chair Clare), Academic Council (Chair Clare/Vice-Chair Brouillette), Academic Council Special Committee on Lab Issues (Chair Clare), Academic Council Special Committee on Agriculture and Natural Resources (Vice-chair Brouillette), the Technology Transfer Advisory Committee (Member Habicht-Mauche), and the Academic Planning Council (Chair Clare). Throughout the year, UCORP's representatives provided updates on the activities of these groups.

**ACKNOWLEDGEMENTS:**

UCORP is most grateful to its consultants, who have provided invaluable information and perspective to the committee: Aimée Dorr (Provost), Steven Beckwith, Vice President for Research and Graduate Studies (ORGS); Mary Croughan, Executive Director for Research Grants and Program Office (RGPO), ORGS; Kathleen Erwin, Director, UC Research Initiatives, RGPO; Wendy Streitz, Executive Director for Research Policy Analysis and Coordination (RPAC), ORGS; and Jenny Gautier, Deputy to the Vice President, ORGS.

UCORP also wishes to thank its invited guests and campus alternates for their participation and support, as well as colleagues across the system who brought to the attention of the committee research-related issues of concern.

Respectfully submitted, UCORP 2013-14:

Robert Clare, Chair (UCR)  
Liane Brouillette, Vice Chair (UCI)  
Massimo Mazzotti, UCB  
Sally McKee, UCD  
Rufus Edwards, UCI

Miguel Unzueta, UCLA  
Ruth Mostern, UCM  
Leonard Nunney, UCR  
Katja Lindenberg, UCSD  
Judith Moskowitz, UCSF  
Carlos Garcia-Cervera, UCSB  
Judith Habicht-Mauche, UCSC  
Shannon Muir, Graduate Student Representative (UCSD)  
Kenneth Feer, Principal Analyst (UCOP)



OFFICE OF THE PROVOST AND  
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, California 94607-5200

August 11, 2014

## CHANCELLORS

Dear Colleagues:

I am writing to inform you that the *2014 Total Remuneration Study for General Campus Ladder Rank Faculty*, a study designed to measure market competitiveness for faculty, is available on the UC Compensation website at <http://compensation.universityofcalifornia.edu/total-remuneration-ladder-rank-faculty-2014.pdf>.

Also attached is a brief overview of the study approach, objectives, and results. The study shows that the comparative value of our total remuneration has, since 2009, gone down compared to our peers; I believe the results were to be expected given the ongoing salary lag between UC and the Comparison 8 institutions as well as the recent changes to the UC defined benefit plan and retiree health benefits.

In the fall, we will need to consider possible responses to the findings; to facilitate conversations about possible responses, we are putting together additional salary data and contextual information about faculty recruitment and retention. The Academic Senate is concerned about this lag in total remuneration and will also be reviewing the results.

Questions about the study may be directed to Vice Provost Susan Carlson at [Susan.Carlson@ucop.edu](mailto:Susan.Carlson@ucop.edu) or telephone (510) 987-0728.

Cordially,

A handwritten signature in cursive script, reading 'Aimée Dorr'.

Aimée Dorr, Provost and  
Executive Vice President for Academic Affairs

Attachment: Briefing Points: Total Remuneration for General Campus Ladder Rank Faculty

cc: President Napolitano  
Academic Council Chair Jacob  
Executive Vice President Brostrom  
Vice President Duckett  
Council of Vice Chancellors  
Vice Provosts for Academic Affairs/Academic Personnel  
Academic Personnel Directors  
Executive Director Larsen  
Executive Director Tanaka  
Executive Director Winnacker  
Manager Lockwood  
Policy and Compensation Analyst Flinker

## Background

- In July, 2013, then President Mark Yudof approved a total remuneration study of general campus ladder-rank faculty (LRF), at the urging of Academic Senate leadership. It was considered cost-prohibitive to study the entire UC employee population, as had been done in the previous 2009 study.
- An Advisory Committee, with Senate, campus, and HR representatives, and chaired by Susan Carlson, selected the consultants in December 2013 and worked with them from January through July 2014.
- This Total Remuneration Study for General Campus LRF was conducted by consultants (Mercer).
- The study results will be posted on the UC compensation website (<http://compensation.universityofcalifornia.edu/>), as was the case for previous studies.

## Approach and Methodology

- The Total Remuneration Study evaluates the current competitiveness of UC's compensation and benefits for general campus, ladder-rank faculty (LRF) when compared to market, defined as the "Comparison 8 Institutions," comprised of four private and four public institutions (Harvard, MIT, Stanford, Yale, Illinois, Michigan, SUNY-Buffalo, and Virginia).
- Total remuneration includes cash compensation, health and welfare benefits, and retirement benefits.
- The study compares faculty at UC, by rank (based on each current faculty member's salary and benefits), to faculty at comparator institutions (based on aggregated data available from the Comp 8).
- The employer-provided value of benefits is determined for both UC and the Comparison 8 institutions using methods and assumptions typical of studies like this one, which are similar to those used in the 2009 Total Remuneration Study.
- Details of study methodology are specified on pp. 64-80 of the report.

## Study Objectives and Results

- The main objective of the Study was to evaluate UC's current competitive position for total remuneration for 7,305 general campus LRF, by rank, compared to market. Additionally, the objective was to evaluate the effect of New Tier benefits (post-July 2013) on total remuneration.
- The methodology from the 2009 study has been used in the 2014 study as much as possible. (See pages 64-80 for detailed information on the methodology.)
- The study presents three sets of results:
  - 1) **2014 Market Position (Market v. UC).** Comparison of total remuneration for UC's new tier (current) benefits to the Comp 8 current benefits.
  - 2) **Comparing 2009 Findings to 2014 Findings.** Comparison of 2009 and 2014 study results.
  - 3) **Effect of New Tier Benefits on Total Remuneration 2014 (UC Old Tier v. UC New Tier).** Comparison assumes all faculty are in the pre-July 2013 plans (UC Old Tier) versus all faculty are in the plans currently available to new hires (UC New Tier).

# 1) Study Findings: 2014 Market Position (Market v. UC) (see pages 12-31)

- UC general campus LRF salaries lag by 12%, for all ranks pooled, but vary among ranks -- 13% lag for Full and Associate Professors and 8% lag for Assistant Professors.
- UC health and welfare benefits are 7% below market.
- UC total retirement (defined benefit plan and retiree health plan) is 6% above market but varies substantially by rank.
- **UC's total remuneration position is 10% below market**, due primarily to non-competitive salaries. This also varies by rank from 9% below market for Full Professors to 14% below for Associate Professors and 11% below for Assistant Professors.

The table below provides a summary of the results and selected observations for all faculty ranks combined.

| Market v. UC   |      | Observations   |
|--|------|--|
| Salary   | -12% | Salaries lag the market by 12%. Notably, salaries comprise the largest percentage of total remuneration, around 75%.   |
| Health and Welfare Benefits (Medical, Life, Dental, Long-term Disability, Flexible Spending Accounts, Vision, Dependent Tuition Reimbursement) | -7%  | Competitiveness of medical benefits and plan choice vary by rank. Plan choice is influenced by pay level and increased contributions based on pay.   |
| Retirement Benefits (DB/DC)  | -2%  | Changes to UC retirement benefits show decreased value when compared to market primarily due to employee contributions. Additional factors are removing terminated vested COLA, changing targeted retirement age from 60 to 65, and changing earliest retirement age from 50 to 55. Plan design changes affect younger faculty members more than older faculty members who are closer to retirement age.                                       |
| Retiree Health (Medical, Life, Dental)   | +61% | While the employer-provided portion value of the retiree health benefits overall is significantly higher than market values, the benefits are a relatively small portion of total remuneration and have only a small effect on overall positioning.  |
| Total Retirement   | +6%  | Although current plans are lower than historical plans, UC is well-positioned compared to its peer group due to a defined benefit plan that potentially provides 100% of highest average pay after 40 years of service. However, it is more likely that faculty will receive 75-80% of salary at retirement given average starting and retiring ages. Current employee contributions of 8% (1976 tier) and 7% (current tier) reduce the value. |
| Total Remuneration   | -10% | UC total remuneration remains behind market due primarily to lower-than-market compensation, a 12% lag.  |



## 2) Study Findings: Comparing 2009 Findings to 2014 Findings (see pages 33-39)

The 2009 total remuneration study was conducted by consultants as well, with key findings as follows:

- In 2009, UC's total remuneration position was 2% below market, driven by non-competitive salaries and nearly offset by higher-than-market total retirement benefits. The retiree health benefit was above market; the main reason the pension benefit was substantially above market was the absence of employee contributions.
- In 2009, UC salaries lagged the market by 10%.
- In 2009, UC health and welfare benefits were 6% above market.
- In 2009, UC pension benefits were 29% above market.
- In 2009, UC's total retirement was 33% above market.
- In sum, UC's 2009 total benefits were 18% above market.

Because the 2014 study adopted a methodology similar to that used in 2009, results could be compared. Overall, the value of total remuneration for general campus LRF fell, as follows:

- **Between 2009 and 2014, UC's total remuneration fell from 2% below market to 10% below market.**
- Between 2009 and 2014, salaries fell further below market from 10% below to 12% below.
- Health and welfare benefits fell from 6% above market in 2009 to 7% below market in 2014, primarily caused by higher medical employee contributions at higher salary bands compared to the market.
- Changes to retirement plan designs since 2009 reduced positioning against market from 29% above market to 2% below market.
- Total retirement decreased from 33% above market to 6% above market.
- Total benefits decreased from 18% above market to 1% below market.

Page 36 contains a useful summary of the comparison, as follows:

- In 2009, UC cash compensation represented 68% of total remuneration; total benefits represented 32% of total remuneration.
- In 2014, UC cash compensation increased to 78% of total remuneration and total benefits decreased to 22%.
  - The 2014 UC position is similar to the mix of total remuneration found in the market.
  - Findings indicate that there has been a shift in total remuneration distribution away from benefits to cash compensation. While the UC change mirrors the marketplace change, it means that benefits play less of a role in recruitment and retention, for UC as well as for competing institutions.
- When the results are separated by rank, the most striking changes are for assistant professors, for whom cash compensation represents 86% of total remuneration in 2014 (compared to 75% in 2009; see pg. 39).

### 3) Study Findings: Effect of New Tier Benefits on Total Remuneration 2014 (UC Old Tier v. UC New Tier)

(see pages 41-50)

- In an effort to isolate and understand the effect of recent benefit changes, the Advisory Committee commissioned this third set of comparisons, which models the effect of the New Tier benefits (or post-July 2013) on the current UC LRF population. Salaries for both groups are as of October 2013. Health and Welfare benefits elections are also the same, valued as of January 2014, to reflect significant benefits changes on that date. The key changes are in the DB plan and in retiree health.
- New tier retirement benefits (the defined benefit plan) are valued 16% below old tier retirement benefits.
- New tier retiree health benefits (medical, life, dental) are valued 23% below old tier retiree health benefits.
- New tier retirement benefits (defined benefit plan plus retiree health) are 17% lower than the old tier.
- **Overall, new tier benefits are 2% lower than old tier benefits (see page 46).**

The table below provides a summary of the results and selected observations on the effect of new tier benefits on total remuneration in 2014.

| UC Old Tier v. UC All New Tier         |      | Observations  |
|--|------|---|
| Salary                                 | 0%   | Cash compensation is the same for both comparisons.   |
| Health and Welfare Benefits            | 0%   | Health and welfare benefits are the same for both comparisons.  |
| Retirement Benefits (DB)               | -16% | All new tier retirement benefit values are lower than old tier due to the changes in plan design. The most significant changes to design that reduce the values include removing the inactive COLA for separation benefits; changing the targeted retirement age assumptions from age 60 to age 65; and increasing the minimum retirement age from age 50 to age 55. Earlier career ranks are more significantly affected by the elimination of the COLA for separation benefits and the change in retirement ages. |
| Retiree Health (Medical, Life, Dental) | -23% | All new tier retiree health is lower than old tier, primarily due to changing retiree health eligibility requirements from service to age and service; providing a flat \$3,000 for out-of-state retirees for retiree health (assumed as 10% of total retirements) instead of a subsidized benefit plan; and delaying eligibility for maximum benefits, from 20 years of service to age 65 and 20 years of service.   |
| Total Retirement                       | -17% | All new tier retirement is lower than the old tier given changes that have lowered values compared to the previous plan design. The effect of these changes is greater on the associate and assistant ranks than the full professor rank, mainly due to the fact that many full professors are already eligible for benefits in both scenarios.   |
| Total Remuneration                     | -2%  | While the effect of the new tier on total retirement varies by rank, the effect on total remuneration is almost the same for all ranks, roughly 2% down for each rank. Cash compensation represents the majority of total remuneration value.   |

Prepared by Academic Personnel and Programs  
Contact Susan Carlson (510.987.0728)

## **Proposed Amendment of Bylaw 125.B.7**

### **Current version:**

The Coordinating Committee on Graduate Affairs shall submit to the Academic Council for final action on behalf of the Assembly proposals for the establishment of new graduate degrees submitted in accordance with Bylaw 180.B.5 when such proposals cannot be included in the agenda of a regular Assembly meeting to be held within sixty calendar days after Committee action. (Am 7 Jun 72)

### **Proposed revision:**

The Coordinating Committee on Graduate Affairs shall submit to the Academic Council for final action on behalf of the Assembly proposals for the establishment of new graduate degrees submitted in accordance with Bylaw 180.B.5 when such proposals cannot be included in the agenda of a regular Assembly meeting to be held within ~~sixty~~ **thirty** calendar days after Committee action. (Am 7 Jun 72)

For some graduate degree titles, such as M.A., M.S., M.B.A., M.F.A., M.A.S., Ph.D., new proposals receive their final Academic Senate approval when CCGA approves them, and this approval is conveyed directly to the Provost and Executive Vice President for submission to the President. That is, if a campus is already authorized to offer an M.F.A. in Sculpture, it can add an M.F.A. in Dance without this being considered a “new degree title.” On the other hand, if a campus proposes, say, a Master of Public Health (M.P.H.) degree for the first time, this is a “new degree title” for the campus and requires an additional step of approval within the Academic Senate before submission to the President. The list of degree titles approved for each campus is appended to Regents’ Standing Order 110.1, which also mentions that the President approves new degree programs and new degree titles “upon the approval of the Academic Senate.”

Senate processes for new degree titles are mentioned in Bylaws 116.C and 180.B.5 as well as in 125.B.7 (copies appended, together with the main text of SO 110.1).

The Senate and the administration have frequently emphasized that proposal reviews need to be thorough and rigorous but also need to be as expeditious as possible. CCGA has adjusted its procedures and taken advantage of the speed of modern communication to improve its average time between arrival of a proposal and final disposition. We find, however, that proposers are sometimes tempted to select a particular degree title for the purpose of avoiding any additional steps involved in a new title (there may also be an additional step at campus level, depending on Divisional Bylaws). CCGA is interested in reducing this temptation, by removing unnecessary delays in the overall process.

A brief discussion at Academic Council revealed that no one found a strong justification for specifying sixty days as the interval that determines whether CCGA’s approval of a new degree title goes to Assembly or Academic Council.

The interval of sixty days is also found in Bylaw 125.B.6, where the issue is “a proposed Divisional Regulation [that] ... is at variance with Universitywide Regulations.” There the Academic Council is allowed to give only a provisional approval if it acts in place of Assembly, and the matter must still be brought to the next Assembly meeting for permanent approval.

The situation in 125.B.7 is different, because in the case of new degree titles the Academic Council is already authorized to make a final decision, not a provisional one. Given the thorough review that new graduate degree proposals receive at each campus and given the systemwide perspective that CCGA applies when it performs its own review of each proposal, it cannot be argued that the proposal has not been sufficiently vetted by the time it reaches Academic Council. It is hard to identify an interest that would be disadvantaged if the interval triggering Academic Council action in place of Assembly action were to be reduced from sixty to thirty days. The change would allow the Senate to exhibit more of the nimbleness that the administration so often desiderates.

Attachment: relevant Bylaws, SO 110.1 (main text)

Authority of the Assembly regarding new graduate degree titles

**Academic Senate Bylaw 116.C**

The Assembly shall consider for approval proposals for the establishment of new graduate degrees received from the Coordinating Committee on Graduate Affairs and requiring approval by the President, to whom The Regents have delegated authority of approval. Proposals approved by the Assembly shall be submitted to the President. [See [SOR 110.1](#) and [Bylaw 180.B.5](#)] (Am 24 May 00)

Authority of the Academic Council to act instead of Assembly regarding new graduate degree titles

**Academic Senate Bylaws 125.B.7**

The Coordinating Committee on Graduate Affairs shall submit to the Academic Council for final action on behalf of the Assembly proposals for the establishment of new graduate degrees submitted in accordance with [Bylaw 180.B.5](#) when such proposals cannot be included in the agenda of a regular Assembly meeting to be held within sixty calendar days after Committee action. (Am 7 Jun 72)

Authority of CCGA to review new graduate degrees and to submit recommendations to the Assembly

**Academic Senate Bylaw 180.B.5**

Review proposals from Graduate Councils for the establishment of new graduate degrees that require approval of the President, to whom The Regents have delegated authority of approval, and submit recommendations thereon to the Assembly [see [SOR 110.1](#) and [Bylaw 116.C](#)]. (Am 24 May 00)

---

Standing Order 110 specifies only “the advice of the Academic Senate” without referring to CCGA, Academic Council, or Assembly

Standing Order 110. Academic Units and Related Activities of the University

110.1: Academic Units and Functions, Affiliated Institutions, and Related Activities of the University

The Board has established the colleges, schools, graduate divisions, certain other major academic units, affiliated institutions, and related activities at the several campuses and facilities of the University of California, and, upon the recommendation of the President of the University, with the advice of the Academic Senate, has established the degrees awarded by the several academic units of the University. The Board shall approve the establishment and disestablishment of colleges, schools, graduate divisions, and organized multicampus research units, upon the recommendation of the President with the advice of the Academic Senate. Detailed provisions of such establishment and disestablishment shall be set forth in the minutes of the Board. The Board may amend these provisions by resolution, upon recommendation of the President of the University. The President is authorized to approve name changes of academic units and

establishment, name changes, and discontinuance of degree titles, upon approval by the Academic Senate.

Includes amendments through March 15, 1996

[For the appended listing of all colleges, schools, and degree titles, it is necessary to download the complete version of SO 110 at

[http://ucop.edu/academic-planning-programs-coordination/\\_files/documents/so\\_110\\_1.pdf](http://ucop.edu/academic-planning-programs-coordination/_files/documents/so_110_1.pdf) ]

Mary Gilly  
Telephone: (510) 987-0711  
Fax: (510) 763-0309  
Email: Mary.Gilly@ucop.edu

Chair of the Assembly and the Academic Council  
Faculty Representative to the Board of Regents  
University of California  
1111 Franklin Street, 12th Floor  
Oakland, California 94607-5200

October 30, 2014

**SENATE DIVISION CHAIRS  
SENATE COMMITTEE CHAIRS**

**Re: Doctoral Student Support Review**

Dear Senate Divisional and Committee Chairs:

At the November 2013 Regents meeting, Provost Aimée Dorr and then Academic Council Chair Bill Jacob reported on the challenges facing UC's academic doctoral education in an increasingly competitive environment. The Regents asked for specifics about what to do and how they could be helpful. Subsequently an All-UC Doctoral Student Support Conference was held at UC Irvine in April 2014 to develop a number of proposals in the areas of non-resident supplemental tuition (NRST), competitiveness in net stipends, professional development and partnerships, and competitiveness in diversity and student recruitment. Through a process that involved faculty collaboration and a number of break-out groups, the conference produced multiple proposals in these categories. Immediately following the conference, a Steering Committee was established for the purposes of further refining these proposals with the stated purpose of preparing formal Regents' items for the January 2015 Regents meeting. In early summer, they were also reviewed by a number of systemwide committees, including CCGA, UCPB, and UCAAD.

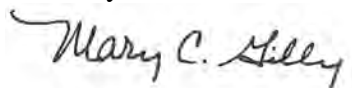
The Steering Committee has now produced number of proposals and background materials and analysis related to doctoral student support, which are now ready for full systemwide Senate review:

- *Non-Resident Supplemental Tuition:* After thoughtful consideration of all of the issues associated with NRST, the Steering Committee is putting forward the following options for review: 1) Change Regental policy so that NRST is not charged after the first year; 2) make it a UC policy to either reimburse faculty grants for NRST or not charge NRST to faculty grants at all; or 3) encourage campuses to engage in financial NRST work-arounds, and share those plans with other campuses, without a formal change to UC or Regental policy.
- *Net Stipend Competitiveness, Multi-Year Funding, and Transparent Offer Letters:* Conference participants identified UC's net stipend competitiveness, multi-year funding, and transparent offer letters as three key areas central to better doctoral student support. The related analyses and review materials detail the additional funding to eliminate the University net stipend competitive gap, and makes the recommendation that multi-year funding become a stated policy of each UC Graduate Division.

- *Professional Development:* Conference participants also identified professional development as a key area of attention. With the changing landscape of postgraduate education, increasing numbers of doctoral students are pursuing careers outside of higher education. In particular, graduate students expressed a need for a greater focus on professional development, especially for those that are investigating alternative career opportunities. Towards that end, the Steering Committee is proposing a UC-wide graduate student career portal be created using a UC-wide shared services model.
- *Diversity Proposals:* In addition to the more tangible aspects of competitiveness, such as NRST and net stipends, the Steering Committee feels strongly that improving diversity also contributes to the University's competitiveness. With this in mind, therefore, the Steering Committee is forwarding two new diversity proposals, the UC Hispanic-serving Institutions and Tribal Colleges and Universities Initiative (UC HSI-TCU) and the UC LEADS proposal, along with two existing programs, the UC Historically Black Colleges and Universities Initiative (UC-HBCU) and summer bridge programs, which are designed to assist under-represented minorities (URMs) other under-privileged students who are entering Ph.D. programs.

I ask that you distribute these materials for review and that you submit responses to [SenateReview@ucop.edu](mailto:SenateReview@ucop.edu) by Friday, November 21, 2014 so that Council can discuss the responses at its meeting on November 24. Please do not hesitate to contact me with any questions.

Sincerely,



Mary Gilly, Chair  
Academic Council

Cc: Academic Council  
Hilary Baxter, Senate Executive Director



## Table of Contents

|  |    |
|--|----|
| Summary of Goals and Recommendations.....  | 1  |
| Executive Summary.....   | 4  |
| Nonresidential Supplemental Tuition (NRST) .....   | 10 |
| Proposal to Eliminate Nonresident Supplemental Tuition for Graduate Academic Students After Their First Year: Key Issues.....                            | 10 |
| Nonresident Supplemental Tuition for Academic Doctoral Students: Current Funding and Implications of Proposed Changes .....                              | 11 |
| Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It .....   | 15 |
| Methodology for Estimating the Financial Impact of Eliminating Nonresident Supplemental Tuition for Academic Doctoral Students after the First Year..... | 28 |
| Net Stipends Competitiveness and Multi-Year Support .....  | 31 |
| Net Stipends Competitiveness Analysis and Recommendations.....   | 31 |
| Multi-Year Support and Transparent Offer Letters Analysis and Recommendations .....  | 37 |
| Graduate & Doctoral Student Enrollment Tables.....   | 41 |
| Professional Development.....  | 48 |
| Proposal for a Graduate Student Career Portal – Budget Options 1 and 2 .....   | 48 |
| Proposal for a Graduate Student Career Portal – Budget Option 3 .....  | 54 |
| Diversity Proposals.....   | 63 |
| UC Hispanic-serving Institutions and Tribal Colleges and Universities Initiative.....  | 63 |
| UC Historically Black Colleges and Universities Initiative .....   | 70 |
| UC LEADS Proposal.....   | 72 |
| Summer Bridge Programs .....   | 75 |

## Summary of Doctoral Student Support Recommendations

### I. Nonresidential Supplemental Tuition (NRST)

#### A. *Recommendations/Options:*

1. Change Regental policy so that NRST is not charged after the first year;
2. Make it a UC policy to either reimburse faculty grants for NRST or not charge NRST to faculty grants at all;
3. Or encourage campuses to engage in financial NRST work-arounds, and share those plans with other campuses, without a formal change to UC or Regental policy.

### II. Net Stipends Competitiveness and Multi-Year Support

#### A. *Net Stipends Competitiveness:*

##### A. **Goals:**

1. Close the net stipend gap. Meet the current per capita net stipend gap of \$1,406 for all UC campuses (\$31M systemwide).
2. Competitiveness with UC's top peer institutions. Make UC's net stipends competitive to the top 25% of cited non-UC institutions cited in the 2013 Graduate Student Support Survey (\$42.7M systemwide).
3. Future Net Stipend Competitiveness. Ensure that UC can offer competitive net stipends to future numbers of enrolled doctoral students (\$38M systemwide based 27,655 projected enrolled doctoral students by 2020-21).

##### B. **Recommendations:**

1. Identify Additional Resources. Identify existing resources and/or free up other sources of revenue to partially bridge the University's net stipend gap on all of its ten campuses.
2. Philanthropy. Work with UC Regents to develop philanthropy targeting the creation of new fellowships and scholarships for doctoral students.
3. Balanced Budget. Achieve an overall balanced University budget in order to make the needed investments in doctoral student support. For instance, the University's long-range financial plan (which will be presented at the November Regents meeting), calls for an annual investment of \$50M into academic quality, with increased graduate enrollment as one of the investment areas.
4. Data Collection. While the University has relied upon the Graduate Student Support Survey for information on net stipends, it may be useful to collect data directly from academic departments and Graduate Divisions on their stipends.

#### B. *Multi-Year Support:*

##### A. **Goals:**

1. Multi-year funding packages should draw upon a diverse combination of sources. These include campus or Graduate Division fellowships, departmental fellowships, teaching assistantships, and graduate student research positions funded either by campus or PI funds.
2. Provide multi-year support for all Ph.D. students as long as they are making adequate progress.

3. Provide 100% fellowship for all first year students.

**B. Recommendations:**

1. Resources. Identify existing resources/services on all ten campuses to provide multi-year support drawn from a wide array of sources.
2. Make multi-year funding a stated policy of each UC Graduate Division.
3. Make explicit the source of back-up funds so that departments do not become more conservative in making offers of admission.

**C. Transparent Offer Letters:**

- A. Goal:** Identify transparent offer letters as a best practice. Letters will identify probable sources of support each year for the length of the program, and specify which fees will be paid by the respective source of support. Any out-of-pocket fees for students will be clearly noted.
- B. Recommendation:** Task the Council of Graduate Deans with the implementation of transparent offer letters as a best practice.

**III. Professional Development**

- A. Goal:** In order to align UC's strategic mission of increasing success for graduate students and strengthening connections to industry, design, create, and implement a UC-wide graduate student career portal be created using a UC-wide shared services model
- B. Recommendations:**
  1. Identify existing resources/services on all ten campuses, assess current graduate student satisfaction with existing resources/services, and identify gaps in the resources/services currently being offered;
  2. Develop a UC-wide online resource, and supporting services, for graduate students to facilitate professional development and employment; and
  3. Re-assess graduate student satisfaction post-deployment of the UC-wide online resources and services and measure their effectiveness in supporting student professional development and employment.

**IV. Diversity Proposals**

- A. Goal:** Improve the less-tangible aspects of UC's competitiveness by improving the diversity of its doctoral students.
- B. Recommendations:**
  1. UC Hispanic-serving Institutions and Tribal Colleges and Universities Initiative. The UC HSI-TCU program to increase the number of scholars from Hispanic Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs) enrolling in UC academic doctoral programs.
  2. UC Historically Black Colleges and Universities Initiative. The existing UC-HBCU Initiative, which was launched in 2012, seeks to increase the number of HBCU graduates in UC PhD programs by investing in relationships between UC faculty and HBCUs.
  3. UC LEADS Proposal. UC LEADS is a new initiative designed to offer an attractive recruitment award to all UC LEADS Scholars who choose to enroll in a UC Ph.D. STEM program.

4. Summer Bridge Programs. Strengthen and possibly expand UC's summer bridge programs, which are an important component of UC's strategy to assist URMs and other entering doctoral students who come from under-privileged backgrounds.

# Doctoral Student Support Systemwide Review Executive Summary

## **Introduction**

At the November 2013 Regents meeting, Provost Aimée Dorr and then Academic Council Chair Bill Jacob reported on the challenges facing UC's academic doctoral education in an increasingly competitive environment. The Regents asked for specifics about what to do and how they could be helpful. Subsequently an All-UC Doctoral Student Support Conference was held at UC Irvine in April 2014 to develop a number of proposals in the areas of professional development and partnerships, non-resident supplemental tuition (NRST), competitiveness in net stipends, and competitiveness in diversity and student recruitment. Through a process that involved faculty collaboration and a number of break-out groups, the conference produced multiple proposals in these categories, most notably the proposal that NRST be eliminated after the first year for non-resident doctoral students. Immediately following the conference, the steering committee, which was established for the purposes of planning the conference, continued to refine these proposals with the stated purpose of preparing as formal Regents' items for the January 2015 Regents meeting. In early summer, they were also reviewed by a number of systemwide committees, including CCGA, UCPB, and UCAAD. The following paragraphs provide a summary of the various proposals:

## **Non-Resident Supplemental Tuition**

The steering committee has confirmed that NRST remains a barrier to recruiting the most talented doctoral students within a globally competitive context for several reasons:

- Departments must identify funding resources to cover students' NRST – in addition to covering students' other charges and providing them with a competitive net stipend for living expenses.
- Faculty may be reluctant to hire nonresident students on research grants due to financial burden of covering NRST.
- The “sticker price” of NRST may be daunting to prospective students.

As noted above, a proposal has emerged to eliminate NRST for academic doctoral students after their first year. The estimated impact of the proposal would be between \$17.5M and \$32.0M of lost revenue (net of the UC-funded fellowships that already cover this expense) based on 2012-13 data. Since the conference, several campuses have adopted strategies to address this issue, such as setting aside more fellowship funds for NRST, or charging only in-state tuition and fees to faculty research grants and covering a GSR's NRST with other sources. Although the original proposal was unanimously supported by members at the conference, political considerations may constrain UC's ability to forego revenue from this source while also calling for additional State funding or increases to the University's other student charges and/or tuition. That said, the steering committee did consult with the Office of General Counsel, which determined that this proposal did not implicate any legal issues (although some revision of Regents Policy 3106 and the UC Residence Policy and Guidelines may be needed).

After consultation with Graduate Deans and a number of campus Executive Vice Chancellors (EVCs) and Vice Chancellors for Budget and Planning (VCPBs), ***the Steering Committee has outlined the following options with respect to NRST: 1) Change Regental policy so that NRST is not charged after the first year; 2) make it a UC policy to either reimburse faculty grants for NRST or not charge NRST to faculty grants at all; or 3) encourage campuses to engage in financial NRST work-arounds, and share those plans with other campuses, without a formal change to UC or Regental policy.***

Within the NRST materials, the following is included:

1. Nonresident Supplemental Tuition for Academic Doctoral Students: Current Funding and Implications of Proposed Changes: Presents an overview of the proposal and related issues, along with systemwide estimates of the proposal's financial implications.
2. Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It: Tables showing systemwide and campus figures for total NRST revenue attributable to academic doctoral students and the fund sources that cover it, by broad academic discipline.
3. Methodology for Estimating the Financial Impact of Eliminating Nonresident Supplemental Tuition for Academic Doctoral Students After their First Year: A description of the methodology used to estimate the figures presented in the other documents.

### **Net Stipend Competitiveness and Multi-Year Offers**

Conference participants identified UC's net stipend competitiveness and multi-year offers as two key areas central to better doctoral student support. Graduate students at the conference also noted that offer letters should be more transparent and specify the contributions of fellowships, teaching assistantships, and/or research assistantships, as well as when each will apply. In making this recommendation, both graduate divisions and doctoral students operate under a shared understanding that the funding arrangements outlined in these letters are not an iron-clad *guarantee* of funding, but probable funding for multiple years of the doctoral student's program if students continue to make adequate progress within their doctoral programs. Optimal letters would break out funding not only by year and anticipated source of support, but also which fees (e.g., health insurance and other miscellaneous fees) will be paid from these respective sources.

With respect to ***net stipend competitiveness***, analyses of the 2013 UC Graduate Student Support Survey showed that on average, UC's stipend offers are lower than those of its competitors by a systemwide net stipend per capita gap of -\$1,406 in 2013. In order to close the average current gap of \$1,406, UC would need an additional \$31M (at 21,974 2013-14 enrolled doctoral students) to make itself nominally competitive with its peer institutions. In examining this issue, the steering committee looked at the gap between UC campuses and the top 25% of cited non-UC universities in the graduate student support survey; the gap (if left unchanged) for the University's aspirational doctoral student enrollments (per the Long Range Enrollment Plan) by 2020-21, as well as inter-UC campus net stipend differences.

Subsequently, the following goals are identified: 1) Meet the current per capita net stipend gap of \$1,406 for all UC campuses (\$31M systemwide); 2) make UC's net stipends competitive to the top 25% of cited non-UC institutions cited in the 2013 Graduate Student Support Survey (\$42.7M systemwide); and 3) ensure that UC can offer competitive net stipends to future numbers of enrolled doctoral students (\$38M systemwide based 27,655 projected enrolled doctoral students by 2020-21). Likewise, ***the recommendations include: 1) Identify existing resources and/or free up other sources of revenue to partially bridge the University's net stipend gap on all of its ten campuses; 2) work with UC Regents to develop philanthropy targeting the creation of new fellowships and scholarships for doctoral students; and 3) achieve an overall balanced University budget in order to make the needed investments in doctoral student support.***

***Multi-year support*** also emerged from the conference as an important priority (preferably for four to five years). While all campuses and many departments do indeed provide some kind of multi-year support, this practice does not seem to be completely universal, nor is it a stated policy. Towards that end, the steering committee identified three goals in this area:

- 1) Multi-year funding packages should draw upon a diverse combination of sources, which should include campus or Graduate Division fellowships, departmental fellowships, teaching assistantships, and graduate student research positions funded either by campus or PI funds.
- 2) Multi-year support should be provided for all Ph.D. students as long as they are making adequate progress.
- 3) There should be 100% fellowship support for all first year students.

***With the aim of reaching these goals, the steering committee is making three recommendations:***

- 1) ***Identify existing resources/services on all ten campuses to provide multi-year support drawn from a wide array of sources.***
- 2) ***Make multi-year funding a stated policy of each UC Graduate Division.***
- 3) ***Make explicit the source of back-up funds so that departments do not become more conservative in making offers of admission.***
- 4) ***While the University has relied upon the Graduate Student Support Survey for information on net stipends, it may be useful to collect data directly from academic departments and Graduate Divisions on their stipends.***

Conference participants, especially graduate students, emphasized the need for ***transparent offer letters*** in order to effectively plan their finances over a five to seven year doctoral program. Such letters do not guarantee support, but offer probable sources of support (e.g., stipend, teaching assistantship, and research assistantship) if students continue to make adequate progress within their doctoral programs. ***The Steering Committee therefore asserts the goal of identifying transparent offer letters as a best practice, and recommended that the Council of Graduate Deans implement this important best practice.***

In addition to the analyses above, this section also contains graduate student enrollment data by discipline and year; campus, discipline and gender; campus, discipline, and URM/international status; discipline and residency status by year; and international students' country of origin by year.

### **Professional Development**

Prompted by calls from administration, students, and faculty, the UC-wide Doctoral Student Support Conference identified professional development as a key area of attention as well. With the changing landscape of postgraduate education, increasing numbers of doctoral students are pursuing careers outside of higher education, while the availability of tenure-track University positions continues to decrease relative to the population of Ph.D.s seeking these positions. While the availability of professional development services varies across campuses, overall, graduate students express a need for a greater focus on professional development, especially for those that are investigating career opportunities outside of higher education. ***To align with UC strategic mission of increasing success for graduate students and strengthening connections to industry, the Steering Committee is proposing a UC-wide graduate student career portal be created using a UC-wide shared services model.*** The model will include UC-wide governance for determining functionality, funding, and prioritization of goals while utilizing a Center of Competency at a local campus managing the development and change management of the portal. The portal will be based in part on existing technology used for the UC San Diego Undergraduate Research Portal (<http://urp.ucsd.edu>). Once established, the portal would realize in the following benefits: 1) Allow more graduate students who want to build a strong professional profile; 2) higher visibility of pre-existing professional development resources/services; 3) higher level of involvement of the university in job placements for graduate students; 4) improved student satisfaction with services provided by the university; and 5) a unique resource that can be used as a recruitment tool for graduate students.

A draft proposal has been developed which makes the following recommendations:

- Identify existing resources/services on all ten campuses, assess current graduate student satisfaction with existing resources/services, and identify gaps in the resources/services currently being offered;
- Develop a UC-wide online resource, and supporting services, for graduate students to facilitate professional development and employment; and
- Re-assess graduate student satisfaction post-deployment of the UC-wide online resources and services and measure their effectiveness in supporting student professional development and employment.

Three draft budgets (or models) have been proposed:

- Option 1: This proposal closely models UCSD's URP, with a minimal amount of career development content, and would include job opportunities only. It would include a comprehensive database that will host all graduate-level job opportunities across all campuses as identified by Career Services on each campus. The total development costs for this option would be \$363,750.
- Option 2: This proposal is the most comprehensive, and would provide graduate students with the job opportunities database in option 1, but would also include additional in-depth information to



assist with career planning and resources for development of professional skills (e.g. résumé advice, professionalization of research skills). The total development cost for this option is \$752,700; ongoing campus-based support staff costs would be \$858,000; and annual maintenance costs (at UCSD) would be \$98,950.

- Option 3 (located in second document): This proposal represents the middle ground between options 1 and 2. Option 3 decouples the role of the campus-based staff from the development of the portal, reducing development costs. Though these staff would still perform their primary function of developing and expanding professional development programming on their home campuses, and though they would still promote and facilitate the portal's usage on their home campuses, they would not engage in the development process of the Portal as in Option 2. Professional development content created by the campus-based staff would not be housed on the Portal website under this option, nor would project management for these staff be centrally provided by UCSD. The total development cost is \$363,750; the ongoing campus costs are \$858,000; and the ongoing annual costs at UCSD are \$98,950.

### **Diversity Programs & Proposals**

In addition to the more tangible aspects of competitiveness, such as NRST and net stipends, the steering committee feels strongly that improving diversity also contributes to the University's competitiveness. This is also supported by evidence from the 2013 Graduate Student Support Survey. As such, conference participants were very keen on including a number of diversity proposals in the mix of recommendations. Therefore, ***the Steering Committee is forwarding two new diversity proposals, the UC Hispanic-serving Institutions and Tribal Colleges and Universities Initiative (UC HSI-TCU) and the UC LEADS proposal, along with two existing programs, the UC Historically Black Colleges and Universities Initiative (UC-HBCU) and summer bridge programs, which are designed to assist under-represented minorities (URMs) other under-privileged students who are entering Ph.D. programs.***

The first of these diversity proposals is one to initiate a ***UC HSI-TCU program*** to increase the number of scholars from Hispanic Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs) enrolling in UC academic doctoral programs. It would allow students from HSIs and TCUs to do research at a UC campus on a faculty grant. Faculty grants will be awarded competitively to support student summer research internships as well as other collaborations or opportunities that serve the goals of the initiative, and may be used for summer research programs, conference participation, and travel or meetings to establish new collaborations with HSI or TCU students and faculty. A \$6M grant pool for the UC HSI-TCU is proposed. The existing ***UC-HBCU Initiative***, which was launched in 2012, seeks to increase the number of HBCU graduates in UC PhD programs by investing in relationships between UC faculty and HBCUs. Grants are competitively awarded to UC faculty members to host HBCU student summer research interns and facilitate faculty research collaborations and other educational activities that serve the goals of the initiative. Currently, the UC-HBCU initiative operates with a \$1M grant pool. The biggest issue at this point is resources, and the UC HSI-TCU initiative is currently not funded. ***UC LEADS*** is a new initiative designed to offer an attractive recruitment award to all UC LEADS Scholars who choose to enroll in a UC Ph.D. STEM program. It aims to leverage the impact of UC's premier STEM graduate-school preparation program by providing financial incentives to UC undergraduates from diverse backgrounds who choose

to pursue their PhD within the UC system. This proposal is framed to offer summer funding for these fellows for up to five summers (earmarking up to 20 students).

Finally, **summer bridge programs** are an important component of UC's strategy to assist URM and other entering doctoral students who come from under-privileged backgrounds. These programs serve students who have accepted an admissions offer but have not matriculated yet, and exist on many UC campuses, but not all (Berkeley, Davis, Irvine, Los Angeles, Riverside, San Diego, San Francisco, Santa Barbara, and Santa Cruz). In essence, these programs act as an academic head-start, and include stipends, research experiences, peer-to-peer mentoring, and a thorough orientation to graduate education, the particular discipline, and possible career paths. Some of these programs are overseen by the campus's respective Graduate Division, while others fall under the control of individual departments. The steering committee estimates that for 2013, approximately 300 students were served by these programs at an overall cost of about \$800,000 (mostly stipend costs). As these programs offer an excellent return on investment (\$2,594 per student), the steering committee is looking into whether, and to what extent, these programs could be expanded if funding is increased. Towards that end, the enclosed document lays out the costs, number of students served, and the cost per student for the extant summer bridge programs. It also includes a number of "scaled-up" summer bridge program proposals (grayed out text), as well as the additional costs for the scaled-up proposals and the new combined costs for both the scaled-up proposals and existing summer bridge programs.

## **Proposal to Eliminate Nonresident Supplemental Tuition for Graduate Academic Students After Their First Year: Key Issues**

- Nonresident Supplemental Tuition (NRST) is seen as a barrier to recruiting the most talented doctoral students within a globally competitive context for several reasons. For example,
  - Departments must identify funding resources to cover students' NRST – in addition to covering students' other charges and providing them with a competitive net stipend for living expenses.
  - Faculty may be reluctant to hire nonresident students on research grants due to financial burden of covering NRST.
  - The “sticker price” of NRST may be daunting to prospective students.
- A proposal has emerged to eliminate NRST for academic doctoral students after their first year. The estimated impact of the proposal would be between \$17.5M and \$32.0M of lost revenue (net of the UC-funded fellowships that already cover this expense) based on 2012-13 data.
- Political considerations also constrain UC's ability to forego revenue from this revenue source while also calling for additional State funding or increases to the University's other student charges.
- Several campuses have adopted strategies to address this issue, such as setting aside more fellowship funds for NRST, or charging only in-state tuition and fees to faculty research grants and covering a GSR's NRST with other sources.
- Additional information about the proposal is provided in three documents:
  1. ***Nonresident Supplemental Tuition for Academic Doctoral Students: Current Funding and Implications of Proposed Changes:*** Presents an overview of the proposal and related issues, along with systemwide estimates of the proposal's financial implications.
  2. ***Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It:*** Tables showing systemwide and campus figures for total NRST revenue attributable to academic doctoral students and the fund sources that cover it, by broad academic discipline.
  3. ***Methodology for Estimating the Financial Impact of Eliminating Nonresident Supplemental Tuition for Academic Doctoral Students After their First Year:*** A description of the methodology used to estimate the figures presented in the other documents.

## Nonresident Supplemental Tuition for Academic Doctoral Students: Current Funding and Implications of Proposed Changes

### *Students Affected by Nonresident Supplemental Tuition (NRST)*

In 2012-13, UC collected an estimated \$76M in gross Nonresident Supplemental Tuition (NRST) attributable to students in academic doctoral programs,<sup>1</sup> consisting of:

- \$44 million from first-year domestic nonresident and international students in academic doctoral programs; and
- \$32 million from continuing international students in academic doctoral programs who either (a) had not yet advanced to candidacy, or (b) had advanced to candidacy three or more years earlier and had not yet graduated. (This number also includes a few domestic nonresident students who for various reasons do not become California residents.)

Domestic nonresident graduate students generally become California residents after one year. As a result, the \$32 million in gross NRST revenue from continuing students was attributable almost entirely to international students for years other than the first three after advancing to candidacy.

### *Fund Sources that Pay NRST*

The competitive market for academic doctoral students generally requires the University to provide funding to fully cover a student's NRST, in addition to covering other student charges and providing a competitive stipend for housing, books, and other expenses. Much of this NRST funding comes from other parts of the University's budget. University-funded fellowships, for example, represent the single largest fund source for covering NRST for academic doctoral students; most (\$47M) of the \$76M in NRST charged to academic doctoral students is paid from UC-funded fellowships and similar support. Other fund sources are shown below.

**Display 1: Estimated NRST Revenue Paid by Various Fund Sources, 2012-13**  
**Academic Doctoral Students (\$M)**

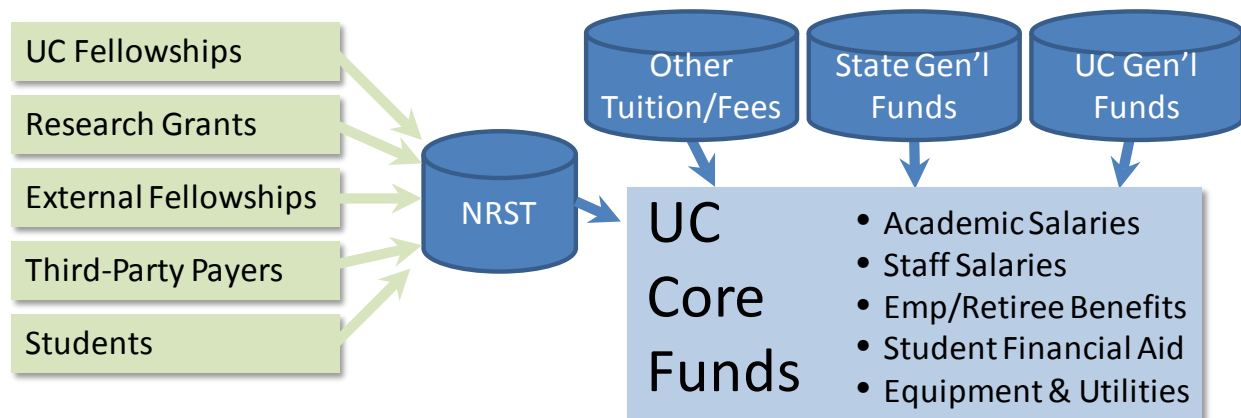
|   | First-year<br>Students | Continuing<br>Students | Total         |
|---|------------------------|------------------------|---------------|
| <b>Gross NRST Revenue</b>                                   | <b>\$43.7</b>          | <b>\$32.0</b>          | <b>\$75.7</b> |
| 1. Portion covered by UC Fellowships <sup>2</sup>           | (\$32.4)               | (\$14.5)               | (\$46.9)      |
| <b>NRST Revenue Net of UC fellowships</b>                   | <b>\$11.3</b>          | <b>\$17.5</b>          | <b>\$28.8</b> |
| <i>Other Funds that Cover NRST</i>                          |                        |                        |               |
| 2. Research Grants (includes UC, federal, and other grants) | (\$4.3)                | (\$9.6)                | (\$13.9)      |
| 3. Outside Fellowships                                      | (\$3.2)                | (\$2.0)                | (\$5.2)       |
| 4. Other Third-Party Payers (e.g., employers)               | (\$0.5)                | (\$0.9)                | (\$1.4)       |
| 5. Students   | (\$3.3)                | (\$5.0)                | (\$8.3)       |

<sup>1</sup> For purposes of this analysis, students in Master of Fine Arts (MFA) programs are included in figures for academic doctoral students, since the MFA represents the terminal academic degree for that discipline.

<sup>2</sup> Includes other UC awards that offset NRST – e.g., waivers for dependents of faculty who work out-of-state.

### ***Fiscal Impact of Reducing or Eliminating NRST***

NRST contributes to UC core funds, which support basic functions such as faculty and staff salaries, equipment and utilities, student financial support, employee and retiree benefits, equipment and supplies. See the illustration below.



Eliminating or reducing NRST would reduce the revenue available for these functions. It would also free up some funds that could be redirected for other purposes. Eliminating NRST has different ramifications for each fund source:

1. **UC Fellowships.** UC fellowship funds cover NRST for many students. If NRST is reduced, these funds could be redirected. They could either (i) be reallocated for purposes other than academic doctoral student support in order to reduce the revenue loss to the UC core funds, (ii) remain budgeted for academic doctoral student support and thus improve the University's competitiveness or (iii) some combination of the two.
2. **Research Grants.** Faculty research grants cover NRST for some graduate students. If NRST were reduced, (i) these funds could be used to support additional graduate student researchers, or support the same number of researchers at a higher wage rate; (ii) the funds could be spent on other aspects of the faculty researcher's grant (e.g., supplies or equipment); or (iii) faculty members could reduce the size of their grant proposals in an effort to compete more successfully for extramural research funds, resulting in a loss of income to UC.
3. **Extramural Fellowships.** Some students' NRST is paid by extramural fellowships. To the extent that NRST is reduced, this funding would either (i) revert to the extramural fellowship agency if the award is directly tied to the student's fees and tuition, or (ii) remain with the student if the award is independent of fees and tuition. In either case, this income is lost to UC.
4. **Third-Party Payers.** Some students' NRST is paid on behalf of a student by third-party payers such as a student's employer or home country. To the extent that NRST is reduced, this funding would likely revert to the third party and would be lost to UC.
5. **Students' Own Resources.** Some students pay all or part of their NRST from their own funds. To the extent that NRST is reduced, this income would also be reduced and would remain with the student.

The table below summarizes the impact to various fund sources and the options for using freed-up funds if UC were to eliminate NRST for all continuing academic doctoral students (i.e., not charge NRST beyond a student's first year).

**Estimated Benefit to Fund Sources and Associated Revenue Loss  
from Eliminating Nonresident Tuition for Academic Doctoral Students  
Beyond Their First Year**

| <i>Fund Source</i>      | <i>Estimated<br/>Freed-Up<br/>Funds</i> | <i>Options for Use of Freed-up Funds</i>   |
|-------------------------|---|--|
| UC Fellowships          | \$14.5 M                                | <ul style="list-style-type: none"> <li>• Re-awarded to increase number/value of Graduate Student Support awards</li> <li>• Used to offset loss in tuition revenue</li> </ul>   |
| Research Assistantships | \$9.6 M                                 | <ul style="list-style-type: none"> <li>• Re-awarded to increase number/value of Graduate Student Researcher positions</li> <li>• Other grant-related expenses</li> <li>• Reduce budgets of grant proposals to improve competitiveness</li> </ul> |
| Extramural Fellowships  | \$2.0 M                                 | <ul style="list-style-type: none"> <li>• Returned to extramural agency</li> <li>• Returned to student</li> </ul>   |
| Third-Party Payers      | \$0.9 M                                 | <ul style="list-style-type: none"> <li>• Returned to extramural payer</li> </ul>   |
| Students                | \$5.0 M                                 | <ul style="list-style-type: none"> <li>• Returned to student</li> </ul>  |
| Total                   | \$32.0 M                                |  |

**Other Implications of Reducing NRST**

In addition to the impact on UC's budget and the different fund sources that cover NRST, eliminating NRST would have other implications for students, departments, and the University as a whole. A few are noted below.

- *Removing financial incentives to advance international students to candidacy.* International students are subject to NRST until they advance to candidacy, at which point they are exempt from NRST for a 3-year window. This provides a financial incentive to have international students advance to candidacy as quickly as possible, which may not always be in a particular student's best interest.
- *Removing financial disincentive to hire international students as Graduate Student Researchers.* Although international students are exempt from NRST for up to 3 years, the NRST that they are assessed before they advance to candidacy and after the 3-year "window" described above makes them more costly to hire as a Graduate Student Researcher than are domestic students.
- *Allowing teaching assistantships to be a more viable source of support for international students.* Unlike a domestic student, an international student who is not within the three-year "window"

of NRST exemption cannot be fully supported by a teaching assistantship alone, since assistantships do not include NRST remission.

- *Reducing barriers to international enrollment growth.* Many departments have expressed an interest in growing the number or proportion of international academic doctoral students that they enroll. Doing so can be prohibitively expensive due to the cost of covering NRST. Eliminating NRST beyond the first year would reduce this cost.
- *Reducing “sticker shock” for international students.* Some have suggested that international students are dissuaded from even applying for admission to UC because of the high “sticker price” associated with nonresident status. (Note, however, that the “sticker price” for many of UC’s private competitor institutions is even higher.) Eliminating NRST after the first year would help address this potential barrier.
- *Interaction with State policy and expectations regarding nonresident students.* Current State law includes a provision stating that, for nonresident students, nonresident tuition plus required fees must remain at or above the marginal cost of instruction for students in each segment. The University is not legally bound by this provision, however, due to the University’s constitutional autonomy. Nevertheless, any proposal to eliminate an existing source of extramural funds may be seen as inconsistent with the University’s repeated requests for additional State funding and/or the need for additional revenue from Tuition and other fund sources.

### **Other Options for Addressing Issues Associated with NRST**

Campuses already have the means to address some of the issues associated with NRST. For example:

- A campus can reduce the NRST levels charged to faculty research grants by identifying other campus funds to cover all or a portion of a Graduate Student Researcher’s NRST.
- A campus can reduce the economic disincentive faced by a faculty member who would like to hire an international student on a research grant by charging the same “blended” rate to research grants for all Graduate Student Researchers -- resident and nonresident alike.
- A campus can improve its ability to compete for international students who pay NRST by reallocating funds from other areas of a campus’s budget to fund UC fellowships (rather than by reducing NRST and then cutting fellowships or other parts of a campus’s budget to offset the lost revenue).

Such approaches, which might differ from campus to campus, would not address all of the issues described above, however (e.g., the “sticker shock” associated with NRST).

## Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It Academic Doctoral Students, 2012-13

### Systemwide By Student Status

|   | Stage               |                     |                     |
|---|---------------------|---------------------|---------------------|
|   | New                 | Continuing          | Grand Total         |
| Count of Students   | 2,948               | 2,569               | 5,517               |
| <b>Total NRST Revenue</b>                                 | <b>\$43,697,637</b> | <b>\$31,960,866</b> | <b>\$75,658,503</b> |
| <b>Total NRST covered by Fellowship</b>                   | <b>\$35,549,438</b> | <b>\$16,486,989</b> | <b>\$52,036,427</b> |
| NRST covered by UC fellowships                            | \$32,374,223        | \$14,478,345        | \$46,852,569        |
| NRST covered by Fed fell                                  | \$2,246,836         | \$437,030           | \$2,683,867         |
| NRST covered by Other fell                                | \$928,378           | \$1,571,614         | \$2,499,992         |
| NRST covered by Unknown fellowships                       | \$0                 | \$0                 | \$0                 |
| <b>Total NRST covered by Remission</b>                    | <b>\$4,271,460</b>  | <b>\$9,608,767</b>  | <b>\$13,880,227</b> |
| NRST covered from UC RA remission                         | \$1,502,555         | \$2,223,116         | \$3,725,672         |
| NRST covered from Fed RA remission                        | \$1,849,233         | \$5,008,152         | \$6,857,385         |
| NRST covered from Other RA remission                      | \$884,434           | \$2,320,436         | \$3,204,870         |
| NRST covered from Unknown RA remission                    | \$35,238            | \$57,063            | \$92,301            |
| <b>Sum of NRST covered by Other support</b>               | <b>\$538,618</b>    | <b>\$884,182</b>    | <b>\$1,422,799</b>  |
| NRST covered by other Fed support                         | \$168,323           | \$9,000             | \$177,323           |
| NRST covered by other Outside support                     | \$370,295           | \$875,182           | \$1,245,477         |
| NRST covered by other Unknown support                     | \$0                 | \$0                 | \$0                 |
| <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$3,338,122</b>  | <b>\$4,980,928</b>  | <b>\$8,319,050</b>  |
| <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$1,132</i>      | <i>\$1,939</i>      | <i>\$1,508</i>      |



**Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover II  
Academic Doctoral Students, 2012-13**

**UC System  
By Campus and Student Status**

|                           |   | Campus              |                    |                    |                     |                    |                    |                     |                    |                    |                    |                     |
|---------------------------|---|---------------------|--------------------|--------------------|---------------------|--------------------|--------------------|---------------------|--------------------|--------------------|--------------------|---------------------|
| Stage                     |   | Berkeley            | Davis              | Irvine             | Los Angeles         | Merced             | Riverside          | San Diego           | San Francisco      | Santa Barbara      | Santa Cruz         | Grand Total         |
| New                       | Count of Students   | 694                 | 358                | 290                | 481                 | 49                 | 205                | 388                 | 92                 | 273                | 118                | 2,948               |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$10,427,931</b> | <b>\$5,275,632</b> | <b>\$4,273,866</b> | <b>\$7,218,756</b>  | <b>\$709,794</b>   | <b>\$2,970,060</b> | <b>\$5,693,454</b>  | <b>\$1,293,738</b> | <b>\$4,097,676</b> | <b>\$1,736,730</b> | <b>\$43,697,637</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$8,720,541</b>  | <b>\$3,854,777</b> | <b>\$3,646,336</b> | <b>\$6,045,846</b>  | <b>\$679,590</b>   | <b>\$2,857,560</b> | <b>\$4,265,951</b>  | <b>\$1,120,568</b> | <b>\$3,018,564</b> | <b>\$1,339,704</b> | <b>\$35,549,438</b> |
|                           | NRST covered by UC fellowships                            | \$7,558,727         | \$3,587,330        | \$3,527,279        | \$5,749,973         | \$663,741          | \$2,769,555        | \$3,665,245         | \$783,287          | \$2,774,780        | \$1,294,306        | \$32,374,223        |
|                           | NRST covered by Fed fell                                  | \$1,003,317         | \$147,002          | \$55,556           | \$278,344           | \$0                | \$11,845           | \$267,561           | \$331,833          | \$115,399          | \$35,978           | \$2,246,836         |
|                           | NRST covered by Other fell                                | \$158,497           | \$120,445          | \$63,501           | \$17,529            | \$15,849           | \$76,160           | \$333,145           | \$5,447            | \$128,385          | \$9,420            | \$928,378           |
|                           | NRST covered by Unknown fellowships                       | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                | \$0                 |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$883,467</b>    | <b>\$849,340</b>   | <b>\$251,700</b>   | <b>\$382,584</b>    | <b>\$22,653</b>    | <b>\$15,102</b>    | <b>\$926,256</b>    | <b>\$0</b>         | <b>\$745,032</b>   | <b>\$195,326</b>   | <b>\$4,271,460</b>  |
|                           | NRST covered from UC RA remission                         | \$144,662           | \$377,705          | \$48,225           | \$129,603           | \$0                | \$749              | \$497,318           | \$0                | \$246,784          | \$57,510           | \$1,502,555         |
|                           | NRST covered from Fed RA remission                        | \$396,468           | \$338,048          | \$135,588          | \$226,623           | \$15,102           | \$12,652           | \$197,882           | \$0                | \$414,489          | \$112,380          | \$1,849,233         |
|                           | NRST covered from Other RA remission                      | \$334,786           | \$133,587          | \$52,785           | \$26,358            | \$0                | \$1,701            | \$231,056           | \$0                | \$83,758           | \$20,402           | \$884,434           |
|                           | NRST covered from Unknown RA remission                    | \$7,551             | \$0                | \$15,102           | \$0                 | \$7,551            | \$0                | \$0                 | \$0                | \$0                | \$5,034            | \$35,238            |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$101,155</b>    | <b>\$281,383</b>   | <b>\$70,436</b>    | <b>\$5,637</b>      | <b>\$0</b>         | <b>\$4,218</b>     | <b>\$0</b>          | <b>\$42,286</b>    | <b>\$33,503</b>    | <b>\$0</b>         | <b>\$538,618</b>    |
|                           | NRST covered by other Fed support                         | \$22,815            | \$14,581           | \$60,385           | \$5,637             | \$0                | \$4,218            | \$0                 | \$27,184           | \$33,503           | \$0                | \$168,323           |
|                           | NRST covered by other Outside support                     | \$78,341            | \$266,802          | \$10,051           | \$0                 | \$0                | \$0                | \$0                 | \$15,102           | \$0                | \$0                | \$370,295           |
|                           | NRST covered by other Unknown support                     | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                | \$0                 |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$722,768</b>    | <b>\$290,132</b>   | <b>\$305,394</b>   | <b>\$784,688</b>    | <b>\$7,551</b>     | <b>\$93,180</b>    | <b>\$501,247</b>    | <b>\$130,884</b>   | <b>\$300,577</b>   | <b>\$201,700</b>   | <b>\$3,338,122</b>  |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$1,041</i>      | <i>\$810</i>       | <i>\$1,053</i>     | <i>\$1,631</i>      | <i>\$154</i>       | <i>\$455</i>       | <i>\$1,292</i>      | <i>\$1,423</i>     | <i>\$1,101</i>     | <i>\$1,709</i>     | <i>\$1,132</i>      |
| Continuing                | Count of Students   | 567                 | 287                | 272                | 475                 | 34                 | 128                | 408                 | 119                | 183                | 96                 | 2,569               |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$7,686,918</b>  | <b>\$3,428,154</b> | <b>\$3,347,610</b> | <b>\$5,733,726</b>  | <b>\$392,652</b>   | <b>\$1,490,064</b> | <b>\$5,537,400</b>  | <b>\$805,440</b>   | <b>\$2,295,504</b> | <b>\$1,243,398</b> | <b>\$31,960,866</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$5,280,881</b>  | <b>\$1,169,640</b> | <b>\$2,077,152</b> | <b>\$3,030,616</b>  | <b>\$369,632</b>   | <b>\$1,059,611</b> | <b>\$1,886,570</b>  | <b>\$297,765</b>   | <b>\$1,008,598</b> | <b>\$306,523</b>   | <b>\$16,486,989</b> |
|                           | NRST covered by UC fellowships                            | \$4,727,094         | \$1,142,497        | \$1,831,272        | \$2,898,192         | \$369,632          | \$891,723          | \$1,383,718         | \$233,235          | \$720,802          | \$280,180          | \$14,478,345        |
|                           | NRST covered by Fed fell                                  | \$211,071           | \$10,755           | \$41,488           | \$83,847            | \$0                | \$0                | \$9,064             | \$54,462           | \$0                | \$26,343           | \$437,030           |
|                           | NRST covered by Other fell                                | \$342,717           | \$16,387           | \$204,393          | \$48,577            | \$0                | \$167,887          | \$493,788           | \$10,068           | \$287,796          | \$0                | \$1,571,614         |
|                           | NRST covered by Unknown fellowships                       | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                | \$0                 |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$1,532,853</b>  | <b>\$1,164,249</b> | <b>\$885,984</b>   | <b>\$1,276,119</b>  | <b>\$15,102</b>    | <b>\$110,748</b>   | <b>\$3,181,488</b>  | <b>\$0</b>         | <b>\$946,392</b>   | <b>\$495,832</b>   | <b>\$9,608,767</b>  |
|                           | NRST covered from UC RA remission                         | \$255,723           | \$391,851          | \$127,497          | \$259,848           | \$15,102           | \$25,734           | \$800,548           | \$0                | \$199,211          | \$147,602          | \$2,223,116         |
|                           | NRST covered from Fed RA remission                        | \$656,992           | \$505,312          | \$647,913          | \$765,104           | \$0                | \$60,721           | \$1,642,783         | \$0                | \$499,286          | \$230,041          | \$5,008,152         |
|                           | NRST covered from Other RA remission                      | \$563,075           | \$267,086          | \$110,574          | \$251,167           | \$0                | \$24,293           | \$738,157           | \$0                | \$247,895          | \$118,189          | \$2,320,436         |
|                           | NRST covered from Unknown RA remission                    | \$57,063            | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                | \$57,063            |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$86,668</b>     | <b>\$700,436</b>   | <b>\$12,318</b>    | <b>\$30,454</b>     | <b>\$0</b>         | <b>\$0</b>         | <b>\$0</b>          | <b>\$45,306</b>    | <b>\$9,000</b>     | <b>\$0</b>         | <b>\$884,182</b>    |
|                           | NRST covered by other Fed support                         | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$9,000            | \$0                | \$9,000             |
|                           | NRST covered by other Outside support                     | \$86,668            | \$700,436          | \$12,318           | \$30,454            | \$0                | \$0                | \$0                 | \$45,306           | \$0                | \$0                | \$875,182           |
|                           | NRST covered by other Unknown support                     | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                | \$0                 |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$786,516</b>    | <b>\$393,829</b>   | <b>\$372,156</b>   | <b>\$1,396,537</b>  | <b>\$7,918</b>     | <b>\$319,705</b>   | <b>\$469,342</b>    | <b>\$462,369</b>   | <b>\$331,514</b>   | <b>\$441,043</b>   | <b>\$4,980,928</b>  |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$1,387</i>      | <i>\$1,372</i>     | <i>\$1,368</i>     | <i>\$2,940</i>      | <i>\$233</i>       | <i>\$2,498</i>     | <i>\$1,150</i>      | <i>\$3,885</i>     | <i>\$1,812</i>     | <i>\$4,594</i>     | <i>\$1,939</i>      |
| All Students<br>With NRST | Count of Students   | 1,261               | 645                | 562                | 956                 | 83                 | 333                | 796                 | 211                | 456                | 214                | 5,517               |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$18,114,849</b> | <b>\$8,703,786</b> | <b>\$7,621,476</b> | <b>\$12,952,482</b> | <b>\$1,102,446</b> | <b>\$4,460,124</b> | <b>\$11,230,854</b> | <b>\$2,099,178</b> | <b>\$6,393,180</b> | <b>\$2,980,128</b> | <b>\$75,658,503</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$14,001,422</b> | <b>\$5,024,417</b> | <b>\$5,723,488</b> | <b>\$9,076,463</b>  | <b>\$1,049,222</b> | <b>\$3,917,171</b> | <b>\$6,152,521</b>  | <b>\$1,418,333</b> | <b>\$4,027,162</b> | <b>\$1,646,227</b> | <b>\$52,036,427</b> |
|                           | NRST covered by UC fellowships                            | \$12,285,820        | \$4,729,827        | \$5,358,551        | \$8,648,165         | \$1,033,373        | \$3,661,279        | \$5,048,963         | \$1,016,522        | \$3,495,582        | \$1,574,486        | \$46,852,569        |
|                           | NRST covered by Fed fell                                  | \$1,214,388         | \$157,758          | \$97,044           | \$362,191           | \$0                | \$11,845           | \$276,625           | \$386,296          | \$115,399          | \$62,321           | \$2,683,867         |
|                           | NRST covered by Other fell                                | \$501,213           | \$136,832          | \$267,893          | \$66,106            | \$15,849           | \$244,047          | \$826,933           | \$15,515           | \$416,181          | \$9,420            | \$2,499,992         |
|                           | NRST covered by Unknown fellowships                       | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                | \$0                 |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$2,416,320</b>  | <b>\$2,013,589</b> | <b>\$1,137,684</b> | <b>\$1,658,703</b>  | <b>\$37,755</b>    | <b>\$125,850</b>   | <b>\$4,107,744</b>  | <b>\$0</b>         | <b>\$1,691,424</b> | <b>\$691,158</b>   | <b>\$13,880,227</b> |
|                           | NRST covered from UC RA remission                         | \$400,385           | \$769,556          | \$175,722          | \$389,451           | \$15,102           | \$26,483           | \$1,297,866         | \$0                | \$445,995          | \$205,111          | \$3,725,672         |
|                           | NRST covered from Fed RA remission                        | \$1,053,461         | \$843,360          | \$783,501          | \$991,727           | \$15,102           | \$73,373           | \$1,840,665         | \$0                | \$913,776          | \$342,421          | \$6,857,385         |
|                           | NRST covered from Other RA remission                      | \$897,860           | \$400,673          | \$163,359          | \$277,525           | \$0                | \$25,994           | \$969,213           | \$0                | \$331,653          | \$138,592          | \$3,204,870         |
|                           | NRST covered from Unknown RA remission                    | \$64,614            | \$0                | \$15,102           | \$0                 | \$7,551            | \$0                | \$0                 | \$0                | \$0                | \$5,034            | \$92,301            |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$187,823</b>    | <b>\$981,819</b>   | <b>\$82,754</b>    | <b>\$36,091</b>     | <b>\$0</b>         | <b>\$4,218</b>     | <b>\$0</b>          | <b>\$87,592</b>    | <b>\$42,503</b>    | <b>\$0</b>         | <b>\$1,422,799</b>  |
|                           | NRST covered by other Fed support                         | \$22,815            | \$14,581           | \$60,385           | \$5,637             | \$0                | \$4,218            | \$0                 | \$27,184           | \$42,503           | \$0                | \$177,323           |
|                           | NRST covered by other Outside support                     | \$165,009           | \$967,238          | \$22,369           | \$30,454            | \$0                | \$0                | \$0                 | \$60,408           | \$0                | \$0                | \$1,245,477         |
|                           | NRST covered by other Unknown support                     | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                 | \$0                | \$0                | \$0                | \$0                 |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$1,509,284</b>  | <b>\$683,961</b>   | <b>\$677,550</b>   | <b>\$2,181,225</b>  | <b>\$15,469</b>    | <b>\$412,885</b>   | <b>\$970,589</b>    | <b>\$593,253</b>   | <b>\$632,091</b>   | <b>\$642,743</b>   | <b>\$8,319,050</b>  |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$1,197</i>      | <i>\$1,060</i>     | <i>\$1,206</i>     | <i>\$2,282</i>      | <i>\$186</i>       | <i>\$1,240</i>     | <i>\$1,219</i>      | <i>\$2,812</i>     | <i>\$1,386</i>     | <i>\$3,003</i>     | <i>\$1,508</i>      |

Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13

UC System  
By Discipline and Student Status

| Stage                     |  | Discipline         |             |                    |             |               |           |                      |              |                    | Grand Total  |
|---------------------------|--|--------------------|-------------|--------------------|-------------|---------------|-----------|----------------------|--------------|--------------------|--------------|
|                           |  | Engineering/C<br>S | Fine Arts   | Health<br>Sciences | Humanities  | Life Sciences | OTHER     | Physical<br>Sciences | Professional | Social<br>Sciences |              |
| New                       | Count of Students                                  | 817                | 135         | 21                 | 281         | 473           | 26        | 689                  | 137          | 369                | 2,948        |
|                           | Total NRST Revenue                                 | \$11,930,580       | \$2,033,736 | \$317,142          | \$4,208,424 | \$7,050,117   | \$392,652 | \$10,229,088         | \$2,051,355  | \$5,484,543        | \$43,697,637 |
|                           | Total NRST covered by Fellowship                   | \$7,730,280        | \$1,899,212 | \$270,244          | \$3,951,366 | \$6,228,543   | \$368,021 | \$8,780,330          | \$1,724,744  | \$4,596,697        | \$35,549,438 |
|                           | NRST covered by UC fellowships                     | \$6,819,410        | \$1,873,790 | \$181,559          | \$3,854,005 | \$5,103,842   | \$334,440 | \$8,178,429          | \$1,615,296  | \$4,413,452        | \$32,374,223 |
|                           | NRST covered by Fed fell                           | \$602,714          | \$15,792    | \$81,177           | \$50,731    | \$827,033     | \$24,160  | \$493,745            | \$44,815     | \$106,669          | \$2,246,836  |
|                           | NRST covered by Other fell                         | \$308,156          | \$9,631     | \$7,508            | \$46,629    | \$297,669     | \$9,420   | \$108,157            | \$64,634     | \$76,575           | \$928,378    |
|                           | NRST covered by Unknown fellowships                | \$0                | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Total NRST covered by Remission                    | \$2,457,567        | \$10,068    | \$0                | \$55,374    | \$508,570     | \$15,102  | \$971,562            | \$98,163     | \$155,054          | \$4,271,460  |
|                           | NRST covered from UC RA remission                  | \$843,103          | \$10,068    | \$0                | \$55,374    | \$172,075     | \$0       | \$345,178            | \$47,823     | \$28,934           | \$1,502,555  |
|                           | NRST covered from Fed RA remission                 | \$970,762          | \$0         | \$0                | \$0         | \$280,658     | \$0       | \$471,962            | \$35,238     | \$90,612           | \$1,849,233  |
|                           | NRST covered from Other RA remission               | \$608,464          | \$0         | \$0                | \$0         | \$55,837      | \$15,102  | \$154,422            | \$15,102     | \$35,508           | \$884,434    |
|                           | NRST covered from Unknown RA remission             | \$35,238           | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$35,238     |
|                           | Sum of NRST covered by Other support               | \$85,561           | \$0         | \$13,592           | \$64,920    | \$140,578     | \$0       | \$137,696            | \$6,329      | \$89,942           | \$538,618    |
|                           | NRST covered by other Fed support                  | \$15,102           | \$0         | \$13,592           | \$9,614     | \$20,830      | \$0       | \$77,288             | \$2,363      | \$29,534           | \$168,323    |
|                           | NRST covered by other Outside support              | \$70,459           | \$0         | \$0                | \$55,306    | \$119,748     | \$0       | \$60,408             | \$3,966      | \$60,408           | \$370,295    |
|                           | NRST covered by other Unknown support              | \$0                | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$1,657,173        | \$124,456   | \$33,306           | \$136,764   | \$172,425     | \$9,529   | \$339,500            | \$222,119    | \$642,851          | \$3,338,122  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$2,028            | \$922       | \$1,586            | \$487       | \$365         | \$367     | \$493                | \$1,621      | \$1,742            | \$1,132      |
| Continuing                | Count of Students                                  | 1,255              | 62          | 19                 | 147         | 305           | 36        | 377                  | 131          | 237                | 2,569        |
|                           | Total NRST Revenue                                 | \$15,378,870       | \$838,161   | \$246,666          | \$1,860,063 | \$3,632,031   | \$437,958 | \$4,611,144          | \$1,834,893  | \$3,121,080        | \$31,960,866 |
|                           | Total NRST covered by Fellowship                   | \$5,557,701        | \$607,651   | \$184,415          | \$1,550,611 | \$1,940,688   | \$263,758 | \$2,710,608          | \$1,474,295  | \$2,197,263        | \$16,486,989 |
|                           | NRST covered by UC fellowships                     | \$4,703,620        | \$594,499   | \$151,990          | \$1,499,696 | \$1,638,815   | \$231,772 | \$2,278,630          | \$1,347,054  | \$2,032,270        | \$14,478,345 |
|                           | NRST covered by Fed fell                           | \$218,239          | \$0         | \$23,297           | \$0         | \$69,940      | \$10,068  | \$105,418            | \$0          | \$10,068           | \$437,030    |
|                           | NRST covered by Other fell                         | \$635,841          | \$13,152    | \$9,128            | \$50,915    | \$231,933     | \$21,918  | \$326,560            | \$127,241    | \$154,925          | \$1,571,614  |
|                           | NRST covered by Unknown fellowships                | \$0                | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Total NRST covered by Remission                    | \$7,294,538        | \$0         | \$5,034            | \$0         | \$914,794     | \$85,578  | \$1,170,405          | \$50,340     | \$88,078           | \$9,608,767  |
|                           | NRST covered from UC RA remission                  | \$1,523,588        | \$0         | \$0                | \$0         | \$271,662     | \$38,215  | \$321,445            | \$22,653     | \$45,554           | \$2,223,116  |
|                           | NRST covered from Fed RA remission                 | \$3,738,600        | \$0         | \$0                | \$0         | \$485,683     | \$31,619  | \$716,831            | \$3,356      | \$32,064           | \$5,008,152  |
|                           | NRST covered from Other RA remission               | \$1,975,287        | \$0         | \$5,034            | \$0         | \$157,450     | \$15,744  | \$132,130            | \$24,331     | \$10,460           | \$2,320,436  |
|                           | NRST covered from Unknown RA remission             | \$57,063           | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$57,063     |
|                           | Sum of NRST covered by Other support               | \$300,485          | \$0         | \$0                | \$83,061    | \$340,176     | \$39,204  | \$68,524             | \$7,426      | \$45,306           | \$884,182    |
|                           | NRST covered by other Fed support                  | \$0                | \$0         | \$0                | \$0         | \$0           | \$9,000   | \$0                  | \$0          | \$0                | \$9,000      |
|                           | NRST covered by other Outside support              | \$300,485          | \$0         | \$0                | \$83,061    | \$340,176     | \$30,204  | \$68,524             | \$7,426      | \$45,306           | \$875,182    |
|                           | NRST covered by other Unknown support              | \$0                | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$2,226,146        | \$230,511   | \$57,217           | \$226,391   | \$436,373     | \$49,418  | \$661,607            | \$302,832    | \$790,433          | \$4,980,928  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,774            | \$3,718     | \$3,011            | \$1,540     | \$1,431       | \$1,373   | \$1,755              | \$2,312      | \$3,335            | \$1,939      |
| All Students<br>With NRST | Count of Students                                  | 2,072              | 197         | 40                 | 428         | 778           | 62        | 1,066                | 268          | 606                | 5,517        |
|                           | Total NRST Revenue                                 | \$27,309,450       | \$2,871,897 | \$563,808          | \$6,068,487 | \$10,682,148  | \$830,610 | \$14,840,232         | \$3,886,248  | \$8,605,623        | \$75,658,503 |
|                           | Total NRST covered by Fellowship                   | \$13,287,981       | \$2,506,863 | \$454,659          | \$5,501,976 | \$8,169,232   | \$631,778 | \$11,490,939         | \$3,199,039  | \$6,793,960        | \$52,036,427 |
|                           | NRST covered by UC fellowships                     | \$11,523,030       | \$2,468,289 | \$333,549          | \$5,353,701 | \$6,742,657   | \$566,212 | \$10,457,059         | \$2,962,350  | \$6,445,722        | \$46,852,569 |
|                           | NRST covered by Fed fell                           | \$820,953          | \$15,792    | \$104,473          | \$50,731    | \$896,973     | \$34,228  | \$599,163            | \$44,815     | \$116,737          | \$2,683,867  |
|                           | NRST covered by Other fell                         | \$943,997          | \$22,783    | \$16,636           | \$97,544    | \$529,602     | \$31,338  | \$434,717            | \$191,875    | \$231,500          | \$2,499,992  |
|                           | NRST covered by Unknown fellowships                | \$0                | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Total NRST covered by Remission                    | \$9,752,105        | \$10,068    | \$5,034            | \$55,374    | \$1,423,364   | \$100,680 | \$2,141,967          | \$148,503    | \$243,132          | \$13,880,227 |
|                           | NRST covered from UC RA remission                  | \$2,366,691        | \$10,068    | \$0                | \$55,374    | \$443,737     | \$38,215  | \$666,623            | \$70,476     | \$74,488           | \$3,725,672  |
|                           | NRST covered from Fed RA remission                 | \$4,709,363        | \$0         | \$0                | \$0         | \$766,341     | \$31,619  | \$1,188,793          | \$38,594     | \$122,676          | \$6,857,385  |
|                           | NRST covered from Other RA remission               | \$2,583,751        | \$0         | \$5,034            | \$0         | \$213,286     | \$30,846  | \$286,551            | \$39,433     | \$45,968           | \$3,204,870  |
|                           | NRST covered from Unknown RA remission             | \$92,301           | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$92,301     |
|                           | Sum of NRST covered by Other support               | \$386,046          | \$0         | \$13,592           | \$147,981   | \$480,754     | \$39,204  | \$206,220            | \$13,755     | \$135,248          | \$1,422,799  |
|                           | NRST covered by other Fed support                  | \$15,102           | \$0         | \$13,592           | \$9,614     | \$20,830      | \$9,000   | \$77,288             | \$2,363      | \$29,534           | \$177,323    |
|                           | NRST covered by other Outside support              | \$370,944          | \$0         | \$0                | \$138,367   | \$459,924     | \$30,204  | \$128,932            | \$11,392     | \$105,714          | \$1,245,477  |
|                           | NRST covered by other Unknown support              | \$0                | \$0         | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$3,883,318        | \$354,966   | \$90,523           | \$363,155   | \$608,798     | \$58,948  | \$1,001,107          | \$524,951    | \$1,433,284        | \$8,319,050  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,874            | \$1,802     | \$2,263            | \$848       | \$783         | \$951     | \$939                | \$1,959      | \$2,365            | \$1,508      |

Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13

Berkeley  
By Discipline and Student Status

|                           |  | Discipline    |           |          |             |               |           |             |              |             |              |
|---------------------------|--|---------------|-----------|----------|-------------|---------------|-----------|-------------|--------------|-------------|--------------|
|                           |  | Engineering/C |           | Health   |             | Physical      |           | Social      |              |             |              |
| Stage                     |  | S             | Fine Arts | Sciences | Humanities  | Life Sciences | OTHER     | Sciences    | Professional | Sciences    | Grand Total  |
| New                       | Count of Students                                  | 228           | 17        | 2        | 71          | 107           | 3         | 163         | 52           | 51          | 694          |
|                           | Total NRST Revenue                                 | \$3,413,052   | \$256,734 | \$30,204 | \$1,072,242 | \$1,615,914   | \$45,306  | \$2,454,075 | \$777,753    | \$762,651   | \$10,427,931 |
|                           | Total NRST covered by Fellowship                   | \$2,302,642   | \$256,734 | \$30,204 | \$1,002,288 | \$1,590,586   | \$45,306  | \$2,060,278 | \$690,304    | \$742,199   | \$8,720,541  |
|                           | NRST covered by UC fellowships                     | \$1,926,345   | \$255,027 | \$30,204 | \$965,637   | \$1,175,559   | \$45,306  | \$1,884,627 | \$640,909    | \$635,112   | \$7,558,727  |
|                           | NRST covered by Fed fell                           | \$302,382     | \$0       | \$0      | \$36,651    | \$396,369     | \$0       | \$160,829   | \$15,103     | \$91,985    | \$1,003,317  |
|                           | NRST covered by Other fell                         | \$73,915      | \$1,707   | \$0      | \$0         | \$18,659      | \$0       | \$14,822    | \$34,292     | \$15,102    | \$158,497    |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$0          |
|                           | Total NRST covered by Remission                    | \$649,386     | \$0       | \$0      | \$15,102    | \$0           | \$0       | \$196,326   | \$22,653     | \$0         | \$883,466    |
|                           | NRST covered from UC RA remission                  | \$91,805      | \$0       | \$0      | \$15,102    | \$0           | \$0       | \$30,204    | \$7,551      | \$0         | \$144,662    |
|                           | NRST covered from Fed RA remission                 | \$290,754     | \$0       | \$0      | \$0         | \$0           | \$0       | \$105,714   | \$0          | \$0         | \$396,468    |
|                           | NRST covered from Other RA remission               | \$259,276     | \$0       | \$0      | \$0         | \$0           | \$0       | \$60,408    | \$15,102     | \$0         | \$334,786    |
|                           | NRST covered from Unknown RA remission             | \$7,551       | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$7,551      |
|                           | Sum of NRST covered by Other support               | \$15,102      | \$0       | \$0      | \$40,204    | \$3,966       | \$0       | \$30,204    | \$6,329      | \$5,350     | \$101,155    |
|                           | NRST covered by other Fed support                  | \$15,102      | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$2,363      | \$5,350     | \$22,815     |
|                           | NRST covered by other Outside support              | \$0           | \$0       | \$0      | \$40,204    | \$3,966       | \$0       | \$30,204    | \$3,966      | \$0         | \$78,341     |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$445,922     | \$0       | \$0      | \$14,648    | \$21,361      | \$0       | \$167,267   | \$58,468     | \$15,102    | \$722,768    |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,956       | \$0       | \$0      | \$206       | \$200         | \$0       | \$1,026     | \$1,124      | \$296       | \$1,041      |
| Continuing                | Count of Students                                  | 265           | 6         | 3        | 36          | 56            | 9         | 84          | 50           | 58          | 567          |
|                           | Total NRST Revenue                                 | \$3,662,235   | \$83,061  | \$30,204 | \$460,611   | \$747,549     | \$120,816 | \$1,079,793 | \$672,039    | \$830,610   | \$7,686,918  |
|                           | Total NRST covered by Fellowship                   | \$2,035,926   | \$83,061  | \$14,233 | \$416,207   | \$554,831     | \$86,106  | \$771,930   | \$564,652    | \$753,936   | \$5,280,881  |
|                           | NRST covered by UC fellowships                     | \$1,724,856   | \$83,061  | \$14,233 | \$410,598   | \$527,624     | \$78,881  | \$683,256   | \$493,720    | \$710,866   | \$4,727,094  |
|                           | NRST covered by Fed fell                           | \$147,709     | \$0       | \$0      | \$0         | \$12,766      | \$0       | \$50,597    | \$0          | \$0         | \$211,071    |
|                           | NRST covered by Other fell                         | \$163,362     | \$0       | \$0      | \$5,609     | \$14,442      | \$7,225   | \$38,077    | \$70,931     | \$43,070    | \$342,717    |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$0          |
|                           | Total NRST covered by Remission                    | \$1,245,915   | \$0       | \$0      | \$0         | \$105,714     | \$30,204  | \$135,918   | \$15,102     | \$0         | \$1,532,853  |
|                           | NRST covered from UC RA remission                  | \$188,966     | \$0       | \$0      | \$0         | \$28,515      | \$10,501  | \$20,190    | \$7,551      | \$0         | \$255,723    |
|                           | NRST covered from Fed RA remission                 | \$506,945     | \$0       | \$0      | \$0         | \$70,475      | \$3,960   | \$75,613    | \$0          | \$0         | \$656,992    |
|                           | NRST covered from Other RA remission               | \$492,941     | \$0       | \$0      | \$0         | \$6,724       | \$15,744  | \$40,114    | \$7,551      | \$0         | \$563,075    |
|                           | NRST covered from Unknown RA remission             | \$57,063      | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$57,063     |
|                           | Sum of NRST covered by Other support               | \$33,196      | \$0       | \$0      | \$7,551     | \$6,741       | \$0       | \$2,992     | \$5,984      | \$30,204    | \$86,668     |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Outside support              | \$33,196      | \$0       | \$0      | \$7,551     | \$6,741       | \$0       | \$2,992     | \$5,984      | \$30,204    | \$86,668     |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$347,198     | \$0       | \$15,972 | \$36,853    | \$80,262      | \$4,506   | \$168,953   | \$86,301     | \$46,470    | \$786,516    |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,310       | \$0       | \$5,324  | \$1,024     | \$1,433       | \$501     | \$2,011     | \$1,726      | \$801       | \$1,387      |
| All Students<br>With NRST | Count of Students                                  | 493           | 23        | 5        | 107         | 163           | 12        | 247         | 102          | 109         | 1,261        |
|                           | Total NRST Revenue                                 | \$7,075,287   | \$339,795 | \$60,408 | \$1,532,853 | \$2,363,463   | \$166,122 | \$3,533,868 | \$1,449,792  | \$1,593,261 | \$18,114,849 |
|                           | Total NRST covered by Fellowship                   | \$4,338,568   | \$339,795 | \$44,437 | \$1,418,495 | \$2,145,418   | \$131,412 | \$2,832,208 | \$1,254,955  | \$1,496,135 | \$14,001,422 |
|                           | NRST covered by UC fellowships                     | \$3,651,201   | \$338,088 | \$44,437 | \$1,376,235 | \$1,703,183   | \$124,187 | \$2,567,882 | \$1,134,630  | \$1,345,978 | \$12,285,820 |
|                           | NRST covered by Fed fell                           | \$450,091     | \$0       | \$0      | \$36,651    | \$409,134     | \$0       | \$211,426   | \$15,103     | \$91,985    | \$1,214,388  |
|                           | NRST covered by Other fell                         | \$237,276     | \$1,707   | \$0      | \$5,609     | \$33,101      | \$7,225   | \$52,900    | \$105,223    | \$58,172    | \$501,213    |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$0          |
|                           | Total NRST covered by Remission                    | \$1,895,301   | \$0       | \$0      | \$15,102    | \$105,714     | \$30,204  | \$332,244   | \$37,755     | \$0         | \$2,416,320  |
|                           | NRST covered from UC RA remission                  | \$280,771     | \$0       | \$0      | \$15,102    | \$28,515      | \$10,501  | \$50,394    | \$15,102     | \$0         | \$400,385    |
|                           | NRST covered from Fed RA remission                 | \$797,699     | \$0       | \$0      | \$0         | \$70,475      | \$3,960   | \$181,327   | \$0          | \$0         | \$1,053,461  |
|                           | NRST covered from Other RA remission               | \$752,217     | \$0       | \$0      | \$0         | \$6,724       | \$15,744  | \$100,522   | \$22,653     | \$0         | \$897,860    |
|                           | NRST covered from Unknown RA remission             | \$64,614      | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$64,614     |
|                           | Sum of NRST covered by Other support               | \$48,298      | \$0       | \$0      | \$47,755    | \$10,707      | \$0       | \$33,196    | \$12,313     | \$35,554    | \$187,823    |
|                           | NRST covered by other Fed support                  | \$15,102      | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$2,363      | \$5,350     | \$22,815     |
|                           | NRST covered by other Outside support              | \$33,196      | \$0       | \$0      | \$47,755    | \$10,707      | \$0       | \$33,196    | \$9,950      | \$30,204    | \$165,009    |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0      | \$0         | \$0           | \$0       | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$793,120     | \$0       | \$15,972 | \$51,501    | \$101,624     | \$4,506   | \$336,220   | \$144,769    | \$61,572    | \$1,509,284  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,609       | \$0       | \$3,194  | \$481       | \$623         | \$376     | \$1,361     | \$1,419      | \$565       | \$1,197      |

Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13

Davis  
By Discipline and Student Status

|                           |  | Discipline    |           |          |            |               |          |             |              |             |             |  |
|---------------------------|--|---------------|-----------|----------|------------|---------------|----------|-------------|--------------|-------------|-------------|--|
|                           |  | Engineering/C |           | Health   |            |               | Physical |             |              | Social      |             |  |
| Stage                     |  | S             | Fine Arts | Sciences | Humanities | Life Sciences | OTHER    | Sciences    | Professional | Sciences    | Grand Total |  |
| New                       | Count of Students                                  | 87            | 8         |          | 25         | 95            | 2        | 79          | 9            | 53          | 358         |  |
|                           | Total NRST Revenue                                 | \$1,248,432   | \$120,816 |          | \$377,550  | \$1,419,588   | \$30,204 | \$1,177,956 | \$135,918    | \$765,168   | \$5,275,632 |  |
|                           | Total NRST covered by Fellowship                   | \$700,958     | \$120,408 | \$0      | \$350,848  | \$984,742     | \$15,102 | \$1,082,153 | \$99,665     | \$500,902   | \$3,854,777 |  |
|                           | NRST covered by UC fellowships                     | \$617,308     | \$120,408 | \$0      | \$350,848  | \$854,751     | \$0      | \$1,058,550 | \$99,665     | \$485,800   | \$3,587,330 |  |
|                           | NRST covered by Fed fell                           | \$67,649      | \$0       |          | \$0        | \$43,461      | \$15,102 | \$20,790    | \$0          | \$0         | \$147,002   |  |
|                           | NRST covered by Other fell                         | \$16,000      | \$0       |          | \$0        | \$86,530      | \$0      | \$2,812     | \$0          | \$15,102    | \$120,445   |  |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       |          | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Total NRST covered by Remission                    | \$446,484     | \$0       |          | \$10,068   | \$271,972     | \$15,102 | \$45,306    | \$20,136     | \$40,272    | \$849,340   |  |
|                           | NRST covered from UC RA remission                  | \$244,818     | \$0       |          | \$10,068   | \$102,683     | \$0      | \$10,068    | \$5,034      | \$5,034     | \$377,705   |  |
|                           | NRST covered from Fed RA remission                 | \$132,710     | \$0       |          | \$0        | \$149,964     | \$0      | \$20,136    | \$15,102     | \$20,136    | \$338,048   |  |
|                           | NRST covered from Other RA remission               | \$68,956      | \$0       |          | \$0        | \$19,325      | \$15,102 | \$15,102    | \$0          | \$15,102    | \$133,587   |  |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       |          | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Sum of NRST covered by Other support               | \$60,408      | \$0       | \$0      | \$15,102   | \$107,858     | \$0      | \$30,204    | \$0          | \$67,811    | \$281,383   |  |
|                           | NRST covered by other Fed support                  | \$0           | \$0       |          | \$0        | \$7,178       | \$0      | \$0         | \$0          | \$7,403     | \$14,581    |  |
|                           | NRST covered by other Outside support              | \$60,408      | \$0       |          | \$15,102   | \$100,680     | \$0      | \$30,204    | \$0          | \$60,408    | \$266,802   |  |
|                           | NRST covered by other Unknown support              | \$0           | \$0       |          | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Sum of NRST paid by student earnings/loans/savings | \$40,582      | \$408     |          | \$1,532    | \$55,016      | \$0      | \$20,293    | \$16,117     | \$156,183   | \$290,132   |  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$466         | \$51      |          | \$61       | \$579         | \$0      | \$257       | \$1,791      | \$2,947     | \$810       |  |
| Continuing                | Count of Students                                  | 109           | 1         | 1        | 21         | 72            | 5        | 43          | 3            | 32          | 287         |  |
|                           | Total NRST Revenue                                 | \$1,283,670   | \$15,102  | \$15,102 | \$302,040  | \$840,678     | \$55,374 | \$473,196   | \$45,306     | \$397,686   | \$3,428,154 |  |
|                           | Total NRST covered by Fellowship                   | \$176,399     | \$14,694  | \$10,068 | \$219,374  | \$168,442     | \$4,898  | \$310,320   | \$29,252     | \$236,192   | \$1,169,640 |  |
|                           | NRST covered by UC fellowships                     | \$170,166     | \$14,694  | \$4,564  | \$219,374  | \$153,037     | \$4,898  | \$310,320   | \$29,252     | \$236,192   | \$1,142,497 |  |
|                           | NRST covered by Fed fell                           | \$0           | \$0       | \$0      | \$0        | \$10,755      | \$0      | \$0         | \$0          | \$0         | \$10,755    |  |
|                           | NRST covered by Other fell                         | \$6,233       | \$0       | \$5,504  | \$0        | \$4,650       | \$0      | \$0         | \$0          | \$0         | \$16,387    |  |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0      | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Total NRST covered by Remission                    | \$775,508     | \$0       | \$5,034  | \$0        | \$257,857     | \$20,136 | \$70,476    | \$0          | \$35,238    | \$1,164,249 |  |
|                           | NRST covered from UC RA remission                  | \$260,870     | \$0       | \$0      | \$0        | \$93,498      | \$17,647 | \$4,486     | \$0          | \$15,350    | \$391,851   |  |
|                           | NRST covered from Fed RA remission                 | \$325,996     | \$0       | \$0      | \$0        | \$119,232     | \$2,489  | \$48,167    | \$0          | \$9,428     | \$505,312   |  |
|                           | NRST covered from Other RA remission               | \$188,642     | \$0       | \$5,034  | \$0        | \$45,127      | \$0      | \$17,822    | \$0          | \$10,460    | \$267,086   |  |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0      | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Sum of NRST covered by Other support               | \$226,299     | \$0       | \$0      | \$75,510   | \$308,015     | \$30,204 | \$45,306    | \$0          | \$15,102    | \$700,436   |  |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0      | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | NRST covered by other Outside support              | \$226,299     | \$0       | \$0      | \$75,510   | \$308,015     | \$30,204 | \$45,306    | \$0          | \$15,102    | \$700,436   |  |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0      | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Sum of NRST paid by student earnings/loans/savings | \$105,464     | \$408     | \$0      | \$7,156    | \$106,364     | \$136    | \$47,094    | \$16,054     | \$111,154   | \$393,829   |  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$968         | \$408     | \$0      | \$341      | \$1,477       | \$27     | \$1,095     | \$5,351      | \$3,474     | \$1,372     |  |
| All Students<br>With NRST | Count of Students                                  | 196           | 9         | 1        | 46         | 167           | 7        | 122         | 12           | 85          | 645         |  |
|                           | Total NRST Revenue                                 | \$2,532,102   | \$135,918 | \$15,102 | \$679,590  | \$2,260,266   | \$85,578 | \$1,651,152 | \$181,224    | \$1,162,854 | \$8,703,786 |  |
|                           | Total NRST covered by Fellowship                   | \$877,357     | \$135,102 | \$10,068 | \$570,222  | \$1,153,184   | \$20,000 | \$1,392,473 | \$128,917    | \$737,094   | \$5,024,417 |  |
|                           | NRST covered by UC fellowships                     | \$787,474     | \$135,102 | \$4,564  | \$570,222  | \$1,007,788   | \$4,898  | \$1,368,870 | \$128,917    | \$721,992   | \$4,729,827 |  |
|                           | NRST covered by Fed fell                           | \$67,649      | \$0       | \$0      | \$0        | \$54,217      | \$15,102 | \$20,790    | \$0          | \$0         | \$157,758   |  |
|                           | NRST covered by Other fell                         | \$22,234      | \$0       | \$5,504  | \$0        | \$91,180      | \$0      | \$2,812     | \$0          | \$15,102    | \$136,832   |  |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0      | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Total NRST covered by Remission                    | \$1,221,992   | \$0       | \$5,034  | \$10,068   | \$529,829     | \$35,238 | \$115,782   | \$20,136     | \$75,510    | \$2,013,589 |  |
|                           | NRST covered from UC RA remission                  | \$505,687     | \$0       | \$0      | \$10,068   | \$196,182     | \$17,647 | \$14,554    | \$5,034      | \$20,384    | \$769,556   |  |
|                           | NRST covered from Fed RA remission                 | \$458,707     | \$0       | \$0      | \$0        | \$269,195     | \$2,489  | \$68,303    | \$15,102     | \$29,564    | \$843,360   |  |
|                           | NRST covered from Other RA remission               | \$257,598     | \$0       | \$5,034  | \$0        | \$64,452      | \$15,102 | \$32,924    | \$0          | \$25,562    | \$400,673   |  |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0      | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Sum of NRST covered by Other support               | \$286,707     | \$0       | \$0      | \$90,612   | \$415,873     | \$30,204 | \$75,510    | \$0          | \$82,913    | \$981,819   |  |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0      | \$0        | \$7,178       | \$0      | \$0         | \$0          | \$7,403     | \$14,581    |  |
|                           | NRST covered by other Outside support              | \$286,707     | \$0       | \$0      | \$90,612   | \$408,695     | \$30,204 | \$75,510    | \$0          | \$75,510    | \$967,238   |  |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0      | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0         |  |
|                           | Sum of NRST paid by student earnings/loans/savings | \$146,046     | \$816     | \$0      | \$8,688    | \$161,380     | \$136    | \$67,387    | \$32,171     | \$267,337   | \$683,961   |  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$745         | \$91      | \$0      | \$189      | \$966         | \$19     | \$552       | \$2,681      | \$3,145     | \$1,060     |  |

Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13

Irvine  
By Discipline and Student Status

| Stage                     |  | Discipline    |           |            |               |           | Physical    |              | Social    |             |
|---------------------------|--|---------------|-----------|------------|---------------|-----------|-------------|--------------|-----------|-------------|
|                           |  | Engineering/C | Fine Arts | Humanities | Life Sciences | OTHER     | Sciences    | Professional | Sciences  | Grand Total |
| New                       | Count of Students                                  | 91            | 19        | 20         | 27            | 5         | 77          | 12           | 39        | 290         |
|                           | Total NRST Revenue                                 | \$1,328,976   | \$286,938 | \$302,040  | \$397,686     | \$75,510  | \$1,122,582 | \$181,224    | \$578,910 | \$4,273,866 |
|                           | Total NRST covered by Fellowship                   | \$938,021     | \$286,938 | \$296,540  | \$347,346     | \$75,510  | \$1,008,321 | \$171,156    | \$522,504 | \$3,646,336 |
|                           | NRST covered by UC fellowships                     | \$866,671     | \$284,607 | \$296,540  | \$321,430     | \$75,510  | \$1,001,847 | \$171,156    | \$509,518 | \$3,527,279 |
|                           | NRST covered by Fed fell                           | \$28,186      | \$1,357   | \$0        | \$19,539      | \$0       | \$6,474     | \$0          | \$0       | \$55,556    |
|                           | NRST covered by Other fell                         | \$43,164      | \$974     | \$0        | \$6,377       | \$0       | \$0         | \$0          | \$12,986  | \$63,501    |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Total NRST covered by Remission                    | \$90,612      | \$0       | \$0        | \$35,238      | \$0       | \$70,476    | \$10,068     | \$45,306  | \$251,700   |
|                           | NRST covered from UC RA remission                  | \$7,390       | \$0       | \$0        | \$381         | \$0       | \$30,386    | \$10,068     | \$0       | \$48,225    |
|                           | NRST covered from Fed RA remission                 | \$33,019      | \$0       | \$0        | \$29,803      | \$0       | \$32,493    | \$0          | \$40,272  | \$135,588   |
|                           | NRST covered from Other RA remission               | \$35,100      | \$0       | \$0        | \$5,054       | \$0       | \$7,597     | \$0          | \$5,034   | \$52,785    |
|                           | NRST covered from Unknown RA remission             | \$15,102      | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$15,102    |
|                           | Sum of NRST covered by Other support               | \$10,051      | \$0       | \$5,500    | \$0           | \$0       | \$43,785    | \$0          | \$11,100  | \$70,436    |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$5,500    | \$0           | \$0       | \$43,785    | \$0          | \$11,100  | \$60,385    |
|                           | NRST covered by other Outside support              | \$10,051      | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$10,051    |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST paid by student earnings/loans/savings | \$290,292     | \$0       | \$0        | \$15,102      | \$0       | \$0         | \$0          | \$0       | \$305,394   |
|                           | Per capita NRST paid by earnings/loans/savings     | \$3,190       | \$0       | \$0        | \$559         | \$0       | \$0         | \$0          | \$0       | \$1,053     |
| Continuing                | Count of Students                                  | 161           | 4         | 7          | 11            | 5         | 52          | 19           | 13        | 272         |
|                           | Total NRST Revenue                                 | \$1,953,192   | \$60,408  | \$80,544   | \$156,054     | \$50,340  | \$629,250   | \$281,904    | \$135,918 | \$3,347,610 |
|                           | Total NRST covered by Fellowship                   | \$1,038,032   | \$51,056  | \$75,510   | \$120,816     | \$35,238  | \$417,732   | \$221,020    | \$117,748 | \$2,077,152 |
|                           | NRST covered by UC fellowships                     | \$929,482     | \$51,056  | \$60,408   | \$105,029     | \$25,170  | \$345,138   | \$212,343    | \$102,646 | \$1,831,272 |
|                           | NRST covered by Fed fell                           | \$16,068      | \$0       | \$0        | \$0           | \$0       | \$15,352    | \$0          | \$0       | \$41,488    |
|                           | NRST covered by Other fell                         | \$92,483      | \$0       | \$15,102   | \$15,787      | \$0       | \$57,242    | \$8,677      | \$15,102  | \$204,393   |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Total NRST covered by Remission                    | \$639,318     | \$0       | \$0        | \$35,238      | \$0       | \$181,224   | \$30,204     | \$0       | \$885,984   |
|                           | NRST covered from UC RA remission                  | \$88,749      | \$0       | \$0        | \$3,793       | \$0       | \$24,888    | \$10,068     | \$0       | \$127,497   |
|                           | NRST covered from Fed RA remission                 | \$467,431     | \$0       | \$0        | \$31,445      | \$0       | \$145,681   | \$3,356      | \$0       | \$647,913   |
|                           | NRST covered from Other RA remission               | \$83,139      | \$0       | \$0        | \$0           | \$0       | \$10,656    | \$16,780     | \$0       | \$110,574   |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST covered by Other support               | \$718         | \$0       | \$0        | \$0           | \$0       | \$10,158    | \$1,442      | \$0       | \$12,318    |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | NRST covered by other Outside support              | \$718         | \$0       | \$0        | \$0           | \$0       | \$10,158    | \$1,442      | \$0       | \$12,318    |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST paid by student earnings/loans/savings | \$275,124     | \$9,352   | \$5,034    | \$0           | \$15,102  | \$20,136    | \$29,238     | \$18,170  | \$372,156   |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,709       | \$2,338   | \$719      | \$0           | \$3,020   | \$387       | \$1,539      | \$1,398   | \$1,368     |
| All Students<br>With NRST | Count of Students                                  | 252           | 23        | 27         | 38            | 10        | 129         | 31           | 52        | 562         |
|                           | Total NRST Revenue                                 | \$3,282,168   | \$347,346 | \$382,584  | \$553,740     | \$125,850 | \$1,751,832 | \$463,128    | \$714,828 | \$7,621,476 |
|                           | Total NRST covered by Fellowship                   | \$1,976,053   | \$337,994 | \$372,050  | \$468,162     | \$110,748 | \$1,426,053 | \$392,176    | \$640,252 | \$5,723,488 |
|                           | NRST covered by UC fellowships                     | \$1,796,153   | \$335,663 | \$356,948  | \$426,459     | \$100,680 | \$1,346,985 | \$383,499    | \$612,164 | \$5,358,551 |
|                           | NRST covered by Fed fell                           | \$44,254      | \$1,357   | \$0        | \$19,539      | \$10,068  | \$21,826    | \$0          | \$0       | \$97,044    |
|                           | NRST covered by Other fell                         | \$135,647     | \$974     | \$15,102   | \$22,164      | \$0       | \$57,242    | \$8,677      | \$28,088  | \$267,893   |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Total NRST covered by Remission                    | \$729,930     | \$0       | \$0        | \$70,476      | \$0       | \$251,700   | \$40,272     | \$45,306  | \$1,137,684 |
|                           | NRST covered from UC RA remission                  | \$96,139      | \$0       | \$0        | \$4,173       | \$0       | \$55,273    | \$20,136     | \$0       | \$175,722   |
|                           | NRST covered from Fed RA remission                 | \$500,450     | \$0       | \$0        | \$61,249      | \$0       | \$178,174   | \$3,356      | \$40,272  | \$783,501   |
|                           | NRST covered from Other RA remission               | \$118,239     | \$0       | \$0        | \$5,054       | \$0       | \$18,253    | \$16,780     | \$5,034   | \$163,359   |
|                           | NRST covered from Unknown RA remission             | \$15,102      | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$15,102    |
|                           | Sum of NRST covered by Other support               | \$10,769      | \$0       | \$5,500    | \$0           | \$0       | \$53,943    | \$1,442      | \$11,100  | \$82,754    |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$5,500    | \$0           | \$0       | \$43,785    | \$0          | \$11,100  | \$60,385    |
|                           | NRST covered by other Outside support              | \$10,769      | \$0       | \$0        | \$0           | \$0       | \$10,158    | \$1,442      | \$0       | \$22,369    |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST paid by student earnings/loans/savings | \$565,416     | \$9,352   | \$5,034    | \$15,102      | \$15,102  | \$20,136    | \$29,238     | \$18,170  | \$677,550   |
|                           | Per capita NRST paid by earnings/loans/savings     | \$2,244       | \$407     | \$186      | \$397         | \$1,510   | \$156       | \$943        | \$349     | \$1,206     |

Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13

Los Angeles  
By Discipline and Student Status

| Stage                     |  | Discipline         |           |                    |             |               |           |                      |              |                    | Grand Total  |
|---------------------------|--|--------------------|-----------|--------------------|-------------|---------------|-----------|----------------------|--------------|--------------------|--------------|
|                           |  | Engineering/C<br>S | Fine Arts | Health<br>Sciences | Humanities  | Life Sciences | OTHER     | Physical<br>Sciences | Professional | Social<br>Sciences |              |
| New                       | Count of Students                                  | 100                | 24        | 5                  | 69          | 54            | 3         | 93                   | 41           | 92                 | 481          |
|                           | Total NRST Revenue                                 | \$1,505,166        | \$362,448 | \$75,510           | \$1,037,004 | \$815,508     | \$45,306  | \$1,394,418          | \$609,114    | \$1,374,282        | \$7,218,756  |
|                           | Total NRST covered by Fellowship                   | \$917,688          | \$315,844 | \$42,204           | \$968,877   | \$795,079     | \$36,593  | \$1,256,461          | \$482,784    | \$1,230,317        | \$6,045,846  |
|                           | NRST covered by UC fellowships                     | \$895,618          | \$315,844 | \$24,079           | \$953,831   | \$752,878     | \$36,593  | \$1,102,739          | \$452,933    | \$1,215,459        | \$5,749,973  |
|                           | NRST covered by Fed fell                           | \$19,718           | \$0       | \$11,613           | \$14,081    | \$42,202      | \$0       | \$146,334            | \$29,712     | \$14,685           | \$278,344    |
|                           | NRST covered by Other fell                         | \$2,352            | \$0       | \$6,512            | \$966       | \$0           | \$0       | \$7,388              | \$138        | \$173              | \$17,529     |
|                           | NRST covered by Unknown fellowships                | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Total NRST covered by Remission                    | \$221,496          | \$0       | \$0                | \$15,102    | \$20,136      | \$0       | \$80,544             | \$45,306     | \$0                | \$382,584    |
|                           | NRST covered from UC RA remission                  | \$79,263           | \$0       | \$0                | \$15,102    | \$5,034       | \$0       | \$5,034              | \$25,170     | \$0                | \$129,603    |
|                           | NRST covered from Fed RA remission                 | \$136,850          | \$0       | \$0                | \$0         | \$5,034       | \$0       | \$64,603             | \$20,136     | \$0                | \$226,623    |
|                           | NRST covered from Other RA remission               | \$5,383            | \$0       | \$0                | \$0         | \$10,068      | \$0       | \$10,907             | \$0          | \$0                | \$26,358     |
|                           | NRST covered from Unknown RA remission             | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST covered by Other support               | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$5,637            | \$5,637      |
|                           | NRST covered by other Fed support                  | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$5,637            | \$5,637      |
|                           | NRST covered by other Outside support              | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | NRST covered by other Unknown support              | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$365,982          | \$46,604  | \$33,306           | \$53,025    | \$293         | \$8,713   | \$57,413             | \$81,024     | \$138,328          | \$784,688    |
|                           | Per capita NRST paid by earnings/loans/savings     | \$3,660            | \$1,942   | \$6,661            | \$768       | \$5           | \$2,904   | \$617                | \$1,976      | \$1,504            | \$1,631      |
| Continuing                | Count of Students                                  | 188                | 26        | 10                 | 52          | 55            | 5         | 58                   | 34           | 47                 | 475          |
|                           | Total NRST Revenue                                 | \$2,219,994        | \$337,278 | \$125,850          | \$624,216   | \$624,216     | \$55,374  | \$644,352            | \$468,162    | \$634,284          | \$5,733,726  |
|                           | Total NRST covered by Fellowship                   | \$644,985          | \$227,316 | \$84,604           | \$485,921   | \$430,754     | \$50,340  | \$304,299            | \$363,638    | \$438,759          | \$3,030,616  |
|                           | NRST covered by UC fellowships                     | \$625,800          | \$224,198 | \$72,785           | \$485,921   | \$396,380     | \$50,340  | \$273,847            | \$354,231    | \$414,689          | \$2,898,192  |
|                           | NRST covered by Fed fell                           | \$15,102           | \$0       | \$8,195            | \$0         | \$30,901      | \$0       | \$19,582             | \$0          | \$10,068           | \$83,847     |
|                           | NRST covered by Other fell                         | \$4,084            | \$3,118   | \$3,624            | \$0         | \$3,473       | \$0       | \$10,869             | \$9,407      | \$14,002           | \$48,577     |
|                           | NRST covered by Unknown fellowships                | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Total NRST covered by Remission                    | \$941,358          | \$0       | \$0                | \$0         | \$130,884     | \$0       | \$198,843            | \$0          | \$5,034            | \$1,276,119  |
|                           | NRST covered from UC RA remission                  | \$215,327          | \$0       | \$0                | \$0         | \$30,204      | \$0       | \$14,317             | \$0          | \$0                | \$259,848    |
|                           | NRST covered from Fed RA remission                 | \$505,400          | \$0       | \$0                | \$0         | \$80,544      | \$0       | \$174,126            | \$0          | \$5,034            | \$765,104    |
|                           | NRST covered from Other RA remission               | \$220,631          | \$0       | \$0                | \$0         | \$20,136      | \$0       | \$10,400             | \$0          | \$0                | \$251,167    |
|                           | NRST covered from Unknown RA remission             | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST covered by Other support               | \$10,068           | \$0       | \$0                | \$0         | \$10,318      | \$0       | \$10,068             | \$0          | \$0                | \$30,454     |
|                           | NRST covered by other Fed support                  | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | NRST covered by other Outside support              | \$10,068           | \$0       | \$0                | \$0         | \$10,318      | \$0       | \$10,068             | \$0          | \$0                | \$30,454     |
|                           | NRST covered by other Unknown support              | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$623,583          | \$109,962 | \$41,246           | \$138,295   | \$52,260      | \$5,034   | \$131,143            | \$104,524    | \$190,491          | \$1,396,537  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$3,317            | \$4,229   | \$4,125            | \$2,660     | \$950         | \$1,007   | \$2,261              | \$3,074      | \$4,053            | \$2,940      |
| All Students<br>With NRST | Count of Students                                  | 288                | 50        | 15                 | 121         | 109           | 8         | 151                  | 75           | 139                | 956          |
|                           | Total NRST Revenue                                 | \$3,725,160        | \$699,726 | \$201,360          | \$1,661,220 | \$1,439,724   | \$100,680 | \$2,038,770          | \$1,077,276  | \$2,008,566        | \$12,952,482 |
|                           | Total NRST covered by Fellowship                   | \$1,562,673        | \$543,160 | \$126,808          | \$1,454,799 | \$1,225,833   | \$86,933  | \$1,560,760          | \$846,422    | \$1,669,075        | \$9,076,463  |
|                           | NRST covered by UC fellowships                     | \$1,521,418        | \$540,042 | \$96,864           | \$1,439,752 | \$1,149,258   | \$86,933  | \$1,376,586          | \$807,164    | \$1,630,148        | \$8,648,165  |
|                           | NRST covered by Fed fell                           | \$34,820           | \$0       | \$19,808           | \$14,081    | \$73,102      | \$0       | \$165,916            | \$29,712     | \$24,753           | \$362,191    |
|                           | NRST covered by Other fell                         | \$6,436            | \$3,118   | \$10,137           | \$966       | \$3,473       | \$0       | \$18,257             | \$9,545      | \$14,175           | \$66,106     |
|                           | NRST covered by Unknown fellowships                | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Total NRST covered by Remission                    | \$1,162,854        | \$0       | \$0                | \$15,102    | \$151,020     | \$0       | \$279,387            | \$45,306     | \$5,034            | \$1,658,703  |
|                           | NRST covered from UC RA remission                  | \$294,590          | \$0       | \$0                | \$15,102    | \$35,238      | \$0       | \$19,351             | \$25,170     | \$0                | \$389,451    |
|                           | NRST covered from Fed RA remission                 | \$642,250          | \$0       | \$0                | \$0         | \$85,578      | \$0       | \$238,729            | \$20,136     | \$5,034            | \$991,727    |
|                           | NRST covered from Other RA remission               | \$226,014          | \$0       | \$0                | \$0         | \$30,204      | \$0       | \$21,307             | \$0          | \$0                | \$277,525    |
|                           | NRST covered from Unknown RA remission             | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST covered by Other support               | \$10,068           | \$0       | \$0                | \$0         | \$10,318      | \$0       | \$10,068             | \$0          | \$5,637            | \$36,091     |
|                           | NRST covered by other Fed support                  | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$5,637            | \$5,637      |
|                           | NRST covered by other Outside support              | \$10,068           | \$0       | \$0                | \$0         | \$10,318      | \$0       | \$10,068             | \$0          | \$0                | \$30,454     |
|                           | NRST covered by other Unknown support              | \$0                | \$0       | \$0                | \$0         | \$0           | \$0       | \$0                  | \$0          | \$0                | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$989,565          | \$156,566 | \$74,552           | \$191,319   | \$52,553      | \$13,747  | \$188,556            | \$185,548    | \$328,819          | \$2,181,225  |
|                           | Per capita NRST paid by earnings/loans/savings     | \$3,436            | \$3,131   | \$4,970            | \$1,581     | \$482         | \$1,718   | \$1,249              | \$2,474      | \$2,366            | \$2,282      |

**Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13**

**Merced**

**By Discipline and Student Status**

| Stage                     |   | Discipline       |                 |                  |                  |                   | Social Sciences | Grand Total        |
|---------------------------|---|------------------|-----------------|------------------|------------------|-------------------|-----------------|--------------------|
|                           |   | Engineering/C S  | Humanities      | Life Sciences    | OTHER            | Physical Sciences |                 |                    |
| New                       | Count of Students   | 21               |                 | 7                | 6                | 13                | 2               | 49                 |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$302,040</b> |                 | <b>\$98,163</b>  | <b>\$90,612</b>  | <b>\$188,775</b>  | <b>\$30,204</b> | <b>\$709,794</b>   |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$271,836</b> | <b>\$0</b>      | <b>\$98,163</b>  | <b>\$90,612</b>  | <b>\$188,775</b>  | <b>\$30,204</b> | <b>\$679,590</b>   |
|                           | NRST covered by UC fellowships                            | \$260,972        | \$0             | \$93,178         | \$90,612         | \$188,775         | \$30,204        | \$663,741          |
|                           | NRST covered by Fed fell                                  | \$0              |                 | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by Other fell                                | \$10,864         |                 | \$4,985          | \$0              | \$0               | \$0             | \$15,849           |
|                           | NRST covered by Unknown fellowships                       | \$0              |                 | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$22,653</b>  |                 | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$22,653</b>    |
|                           | NRST covered from UC RA remission                         | \$0              |                 | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered from Fed RA remission                        | \$15,102         |                 | \$0              | \$0              | \$0               | \$0             | \$15,102           |
|                           | NRST covered from Other RA remission                      | \$0              |                 | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered from Unknown RA remission                    | \$7,551          |                 | \$0              | \$0              | \$0               | \$0             | \$7,551            |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>       | <b>\$0</b>      | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$0</b>         |
|                           | NRST covered by other Fed support                         | \$0              |                 | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by other Outside support                     | \$0              |                 | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by other Unknown support                     | \$0              |                 | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$7,551</b>   |                 | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$7,551</b>     |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$360</i>     |                 | <i>\$0</i>       | <i>\$0</i>       | <i>\$0</i>        | <i>\$0</i>      | <i>\$154</i>       |
| Continuing                | Count of Students   | 17               | 2               | 9                | 2                | 4                 | -               | 34                 |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$188,775</b> | <b>\$30,204</b> | <b>\$90,612</b>  | <b>\$30,204</b>  | <b>\$52,857</b>   | <b>\$0</b>      | <b>\$392,652</b>   |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$181,224</b> | <b>\$30,204</b> | <b>\$75,143</b>  | <b>\$30,204</b>  | <b>\$52,857</b>   | <b>\$0</b>      | <b>\$369,632</b>   |
|                           | NRST covered by UC fellowships                            | \$181,224        | \$30,204        | \$75,143         | \$30,204         | \$52,857          | \$0             | \$369,632          |
|                           | NRST covered by Fed fell                                  | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by Other fell                                | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by Unknown fellowships                       | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$7,551</b>   | <b>\$0</b>      | <b>\$7,551</b>   | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$15,102</b>    |
|                           | NRST covered from UC RA remission                         | \$7,551          | \$0             | \$7,551          | \$0              | \$0               | \$0             | \$15,102           |
|                           | NRST covered from Fed RA remission                        | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered from Other RA remission                      | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered from Unknown RA remission                    | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>       | <b>\$0</b>      | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$0</b>         |
|                           | NRST covered by other Fed support                         | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by other Outside support                     | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by other Unknown support                     | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$0</b>       | <b>\$0</b>      | <b>\$7,918</b>   | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$7,918</b>     |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$0</i>       | <i>\$0</i>      | <i>\$880</i>     | <i>\$0</i>       | <i>\$0</i>        | <i>#DIV/0!</i>  | <i>\$233</i>       |
| All Students<br>With NRST | Count of Students   | 38               | 2               | 16               | 8                | 17                | 2               | 83                 |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$490,815</b> | <b>\$30,204</b> | <b>\$188,775</b> | <b>\$120,816</b> | <b>\$241,632</b>  | <b>\$30,204</b> | <b>\$1,102,446</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$453,060</b> | <b>\$30,204</b> | <b>\$173,306</b> | <b>\$120,816</b> | <b>\$241,632</b>  | <b>\$30,204</b> | <b>\$1,049,222</b> |
|                           | NRST covered by UC fellowships                            | \$442,196        | \$30,204        | \$168,321        | \$120,816        | \$241,632         | \$30,204        | \$1,033,373        |
|                           | NRST covered by Fed fell                                  | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by Other fell                                | \$10,864         | \$0             | \$4,985          | \$0              | \$0               | \$0             | \$15,849           |
|                           | NRST covered by Unknown fellowships                       | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$30,204</b>  | <b>\$0</b>      | <b>\$7,551</b>   | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$37,755</b>    |
|                           | NRST covered from UC RA remission                         | \$7,551          | \$0             | \$7,551          | \$0              | \$0               | \$0             | \$15,102           |
|                           | NRST covered from Fed RA remission                        | \$15,102         | \$0             | \$0              | \$0              | \$0               | \$0             | \$15,102           |
|                           | NRST covered from Other RA remission                      | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered from Unknown RA remission                    | \$7,551          | \$0             | \$0              | \$0              | \$0               | \$0             | \$7,551            |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>       | <b>\$0</b>      | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$0</b>         |
|                           | NRST covered by other Fed support                         | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by other Outside support                     | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | NRST covered by other Unknown support                     | \$0              | \$0             | \$0              | \$0              | \$0               | \$0             | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$7,551</b>   | <b>\$0</b>      | <b>\$7,918</b>   | <b>\$0</b>       | <b>\$0</b>        | <b>\$0</b>      | <b>\$15,469</b>    |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$199</i>     | <i>\$0</i>      | <i>\$495</i>     | <i>\$0</i>       | <i>\$0</i>        | <i>\$0</i>      | <i>\$186</i>       |

**Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13**

**Riverside**

**By Discipline and Student Status**

| Stage                     |   | Discipline         |                 |                  |                  | Physical           |                  |                  | Grand Total        |
|---------------------------|---|--------------------|-----------------|------------------|------------------|--------------------|------------------|------------------|--------------------|
|                           |   | Engineering/C<br>S | Fine Arts       | Humanities       | Life Sciences    | Sciences           | Professional     | Social Sciences  |                    |
| New                       | Count of Students   | 46                 | 5               | 23               | 46               | 56                 | 4                | 25               | 205                |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$669,522</b>   | <b>\$75,510</b> | <b>\$337,278</b> | <b>\$659,454</b> | <b>\$805,440</b>   | <b>\$60,408</b>  | <b>\$362,448</b> | <b>\$2,970,060</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$649,386</b>   | <b>\$75,510</b> | <b>\$330,630</b> | <b>\$649,326</b> | <b>\$790,304</b>   | <b>\$30,204</b>  | <b>\$332,201</b> | <b>\$2,857,560</b> |
|                           | NRST covered by UC fellowships                            | \$649,386          | \$68,560        | \$326,403        | \$622,630        | \$755,274          | \$15,102         | \$332,201        | \$2,769,555        |
|                           | NRST covered by Fed fell                                  | \$0                | \$0             | \$0              | \$9,538          | \$2,307            | \$0              | \$0              | \$11,845           |
|                           | NRST covered by Other fell                                | \$0                | \$6,950         | \$4,227          | \$17,157         | \$32,724           | \$15,102         | \$0              | \$76,160           |
|                           | NRST covered by Unknown fellowships                       | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$0</b>         | <b>\$0</b>      | <b>\$0</b>       | <b>\$10,068</b>  | <b>\$5,034</b>     | <b>\$0</b>       | <b>\$0</b>       | <b>\$15,102</b>    |
|                           | NRST covered from UC RA remission                         | \$0                | \$0             | \$0              | \$749            | \$0                | \$0              | \$0              | \$749              |
|                           | NRST covered from Fed RA remission                        | \$0                | \$0             | \$0              | \$9,319          | \$3,333            | \$0              | \$0              | \$12,652           |
|                           | NRST covered from Other RA remission                      | \$0                | \$0             | \$0              | \$0              | \$1,701            | \$0              | \$0              | \$1,701            |
|                           | NRST covered from Unknown RA remission                    | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>         | <b>\$0</b>      | <b>\$4,114</b>   | <b>\$60</b>      | <b>\$0</b>         | <b>\$0</b>       | <b>\$43</b>      | <b>\$4,218</b>     |
|                           | NRST covered by other Fed support                         | \$0                | \$0             | \$4,114          | \$60             | \$0                | \$0              | \$43             | \$4,218            |
|                           | NRST covered by other Outside support                     | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | NRST covered by other Unknown support                     | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$20,136</b>    | <b>\$0</b>      | <b>\$2,534</b>   | <b>\$0</b>       | <b>\$10,102</b>    | <b>\$30,204</b>  | <b>\$30,204</b>  | <b>\$93,180</b>    |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$438</i>       | <i>\$0</i>      | <i>\$110</i>     | <i>\$0</i>       | <i>\$180</i>       | <i>\$7,551</i>   | <i>\$1,208</i>   | <i>\$455</i>       |
| Continuing                | Count of Students   | 39                 | 1               | 2                | 26               | 37                 | 7                | 16               | 128                |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$402,720</b>   | <b>\$15,102</b> | <b>\$30,204</b>  | <b>\$307,074</b> | <b>\$437,958</b>   | <b>\$105,714</b> | <b>\$191,292</b> | <b>\$1,490,064</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$297,337</b>   | <b>\$5,000</b>  | <b>\$0</b>       | <b>\$228,381</b> | <b>\$352,270</b>   | <b>\$78,477</b>  | <b>\$98,146</b>  | <b>\$1,059,611</b> |
|                           | NRST covered by UC fellowships                            | \$282,235          | \$0             | \$0              | \$166,174        | \$281,794          | \$78,477         | \$83,044         | \$891,723          |
|                           | NRST covered by Fed fell                                  | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | NRST covered by Other Unknown                             | \$15,102           | \$5,000         | \$0              | \$62,207         | \$70,476           | \$0              | \$15,102         | \$167,887          |
|                           | NRST covered by Unknown fellowships                       | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$30,204</b>    | <b>\$0</b>      | <b>\$0</b>       | <b>\$60,408</b>  | <b>\$20,136</b>    | <b>\$0</b>       | <b>\$0</b>       | <b>\$110,748</b>   |
|                           | NRST covered from UC RA remission                         | \$4,669            | \$0             | \$0              | \$18,548         | \$2,517            | \$0              | \$0              | \$25,734           |
|                           | NRST covered from Fed RA remission                        | \$21,377           | \$0             | \$0              | \$26,758         | \$12,585           | \$0              | \$0              | \$60,721           |
|                           | NRST covered from Other RA remission                      | \$4,157            | \$0             | \$0              | \$15,102         | \$5,034            | \$0              | \$0              | \$24,293           |
|                           | NRST covered from Unknown RA remission                    | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>         | <b>\$0</b>      | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>         | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>         |
|                           | NRST covered by other Fed support                         | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | NRST covered by other Outside support                     | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | NRST covered by other Unknown support                     | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$75,179</b>    | <b>\$10,102</b> | <b>\$30,204</b>  | <b>\$18,285</b>  | <b>\$65,552</b>    | <b>\$27,237</b>  | <b>\$93,146</b>  | <b>\$319,705</b>   |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$1,928</i>     | <i>\$10,102</i> | <i>\$15,102</i>  | <i>\$703</i>     | <i>\$1,772</i>     | <i>\$3,891</i>   | <i>\$5,822</i>   | <i>\$2,498</i>     |
| All Students<br>With NRST | Count of Students   | 85                 | 6               | 25               | 72               | 93                 | 11               | 41               | 333                |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$1,072,242</b> | <b>\$90,612</b> | <b>\$367,482</b> | <b>\$966,528</b> | <b>\$1,243,398</b> | <b>\$166,122</b> | <b>\$553,740</b> | <b>\$4,460,124</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$946,723</b>   | <b>\$80,510</b> | <b>\$330,630</b> | <b>\$877,707</b> | <b>\$1,142,574</b> | <b>\$108,681</b> | <b>\$430,347</b> | <b>\$3,917,171</b> |
|                           | NRST covered by UC fellowships                            | \$931,621          | \$68,560        | \$326,403        | \$788,804        | \$1,037,068        | \$93,579         | \$415,245        | \$3,661,279        |
|                           | NRST covered by Fed fell                                  | \$0                | \$0             | \$0              | \$9,538          | \$2,307            | \$0              | \$0              | \$11,845           |
|                           | NRST covered by Other fell                                | \$15,102           | \$11,950        | \$4,227          | \$79,365         | \$103,200          | \$15,102         | \$15,102         | \$244,047          |
|                           | NRST covered by Unknown fellowships                       | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$30,204</b>    | <b>\$0</b>      | <b>\$0</b>       | <b>\$70,476</b>  | <b>\$25,170</b>    | <b>\$0</b>       | <b>\$0</b>       | <b>\$125,850</b>   |
|                           | NRST covered from UC RA remission                         | \$4,669            | \$0             | \$0              | \$19,297         | \$2,517            | \$0              | \$0              | \$26,483           |
|                           | NRST covered from Fed RA remission                        | \$21,377           | \$0             | \$0              | \$36,077         | \$15,918           | \$0              | \$0              | \$73,373           |
|                           | NRST covered from Other RA remission                      | \$4,157            | \$0             | \$0              | \$15,102         | \$6,735            | \$0              | \$0              | \$25,994           |
|                           | NRST covered from Unknown RA remission                    | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>         | <b>\$0</b>      | <b>\$4,114</b>   | <b>\$60</b>      | <b>\$0</b>         | <b>\$0</b>       | <b>\$43</b>      | <b>\$4,218</b>     |
|                           | NRST covered by other Fed support                         | \$0                | \$0             | \$4,114          | \$60             | \$0                | \$0              | \$43             | \$4,218            |
|                           | NRST covered by other Outside support                     | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | NRST covered by other Unknown support                     | \$0                | \$0             | \$0              | \$0              | \$0                | \$0              | \$0              | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$95,315</b>    | <b>\$10,102</b> | <b>\$32,738</b>  | <b>\$18,285</b>  | <b>\$75,654</b>    | <b>\$57,441</b>  | <b>\$123,350</b> | <b>\$412,885</b>   |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$1,121</i>     | <i>\$1,684</i>  | <i>\$1,310</i>   | <i>\$254</i>     | <i>\$813</i>       | <i>\$5,222</i>   | <i>\$3,009</i>   | <i>\$1,240</i>     |



Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13

San Diego

By Discipline and Student Status

| Stage                     |  | Discipline    |           |            |               |          | Physical    |              | Social      |              |
|---------------------------|--|---------------|-----------|------------|---------------|----------|-------------|--------------|-------------|--------------|
|                           |  | Engineering/C | Fine Arts | Humanities | Life Sciences | OTHER    | Sciences    | Professional | Sciences    | Grand Total  |
| New                       | Count of Students                                  | 134           | 35        | 25         | 65            | 3        | 77          | 4            | 45          | 388          |
|                           | Total NRST Revenue                                 | \$1,902,852   | \$528,570 | \$372,516  | \$981,630     | \$45,306 | \$1,122,582 | \$60,408     | \$679,590   | \$5,693,454  |
|                           | Total NRST covered by Fellowship                   | \$960,149     | \$474,488 | \$372,516  | \$892,943     | \$45,306 | \$944,157   | \$60,408     | \$515,984   | \$4,265,951  |
|                           | NRST covered by UC fellowships                     | \$798,362     | \$460,053 | \$372,516  | \$550,292     | \$36,248 | \$884,900   | \$60,408     | \$502,465   | \$3,665,245  |
|                           | NRST covered by Fed fell                           | \$15,102      | \$14,434  | \$0        | \$183,632     | \$9,058  | \$45,335    | \$0          | \$0         | \$267,561    |
|                           | NRST covered by Other fell                         | \$146,685     | \$0       | \$0        | \$159,018     | \$0      | \$13,922    | \$0          | \$13,519    | \$333,145    |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Total NRST covered by Remission                    | \$664,488     | \$10,068  | \$0        | \$60,408      | \$0      | \$171,156   | \$0          | \$20,136    | \$926,256    |
|                           | NRST covered from UC RA remission                  | \$295,655     | \$10,068  | \$0        | \$45,609      | \$0      | \$130,884   | \$0          | \$15,102    | \$497,318    |
|                           | NRST covered from Fed RA remission                 | \$172,712     | \$0       | \$0        | \$0           | \$0      | \$20,136    | \$0          | \$5,034     | \$197,882    |
|                           | NRST covered from Other RA remission               | \$196,121     | \$0       | \$0        | \$14,799      | \$0      | \$20,136    | \$0          | \$0         | \$231,056    |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST covered by Other support               | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Outside support              | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$278,215     | \$44,015  | \$0        | \$28,279      | \$0      | \$7,269     | \$0          | \$143,470   | \$501,247    |
|                           | Per capita NRST paid by earnings/loans/savings     | \$2,076       | \$1,258   | \$0        | \$435         | \$0      | \$94        | \$0          | \$3,188     | \$1,292      |
| Continuing                | Count of Students                                  | 262           | 13        | 14         | 33            | -        | 45          | 8            | 33          | 408          |
|                           | Total NRST Revenue                                 | \$3,554,004   | \$171,156 | \$176,190  | \$458,094     | \$0      | \$634,284   | \$120,816    | \$422,856   | \$5,537,400  |
|                           | Total NRST covered by Fellowship                   | \$740,325     | \$137,720 | \$171,698  | \$166,303     | \$0      | \$257,637   | \$115,782    | \$297,107   | \$1,886,570  |
|                           | NRST covered by UC fellowships                     | \$431,052     | \$132,686 | \$171,698  | \$76,786      | \$0      | \$188,811   | \$115,782    | \$266,903   | \$1,383,718  |
|                           | NRST covered by Fed fell                           | \$0           | \$0       | \$0        | \$0           | \$0      | \$9,064     | \$0          | \$0         | \$9,064      |
|                           | NRST covered by Other fell                         | \$309,273     | \$5,034   | \$0        | \$89,516      | \$0      | \$59,761    | \$0          | \$30,204    | \$493,788    |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Total NRST covered by Remission                    | \$2,567,340   | \$0       | \$0        | \$261,768     | \$0      | \$347,346   | \$5,034      | \$0         | \$3,181,488  |
|                           | NRST covered from UC RA remission                  | \$533,023     | \$0       | \$0        | \$80,474      | \$0      | \$182,017   | \$5,034      | \$0         | \$800,548    |
|                           | NRST covered from Fed RA remission                 | \$1,362,954   | \$0       | \$0        | \$127,025     | \$0      | \$152,804   | \$0          | \$0         | \$1,642,783  |
|                           | NRST covered from Other RA remission               | \$671,363     | \$0       | \$0        | \$54,269      | \$0      | \$12,525    | \$0          | \$0         | \$738,157    |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST covered by Other support               | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Outside support              | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$246,339     | \$33,437  | \$4,493    | \$30,024      | \$0      | \$29,302    | \$0          | \$125,749   | \$469,342    |
|                           | Per capita NRST paid by earnings/loans/savings     | \$940         | \$2,572   | \$321      | \$910         | #DIV/0!  | \$651       | \$0          | \$3,811     | \$1,150      |
| All Students<br>With NRST | Count of Students                                  | 396           | 48        | 39         | 98            | 3        | 122         | 12           | 78          | 796          |
|                           | Total NRST Revenue                                 | \$5,456,856   | \$699,726 | \$548,706  | \$1,439,724   | \$45,306 | \$1,756,866 | \$181,224    | \$1,102,446 | \$11,230,854 |
|                           | Total NRST covered by Fellowship                   | \$1,700,474   | \$612,207 | \$544,214  | \$1,059,245   | \$45,306 | \$1,201,793 | \$176,190    | \$813,092   | \$6,152,521  |
|                           | NRST covered by UC fellowships                     | \$1,229,414   | \$592,739 | \$544,214  | \$627,078     | \$36,248 | \$1,073,712 | \$176,190    | \$769,368   | \$5,048,963  |
|                           | NRST covered by Fed fell                           | \$15,102      | \$14,434  | \$0        | \$183,632     | \$9,058  | \$54,398    | \$0          | \$0         | \$276,625    |
|                           | NRST covered by Other fell                         | \$455,958     | \$5,034   | \$0        | \$248,535     | \$0      | \$73,683    | \$0          | \$43,723    | \$826,933    |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Total NRST covered by Remission                    | \$3,231,828   | \$10,068  | \$0        | \$322,176     | \$0      | \$518,502   | \$5,034      | \$20,136    | \$4,107,744  |
|                           | NRST covered from UC RA remission                  | \$828,678     | \$10,068  | \$0        | \$126,083     | \$0      | \$312,901   | \$5,034      | \$15,102    | \$1,297,866  |
|                           | NRST covered from Fed RA remission                 | \$1,535,666   | \$0       | \$0        | \$127,025     | \$0      | \$172,940   | \$0          | \$5,034     | \$1,840,665  |
|                           | NRST covered from Other RA remission               | \$867,484     | \$0       | \$0        | \$69,068      | \$0      | \$32,661    | \$0          | \$0         | \$969,213    |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST covered by Other support               | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Outside support              | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0      | \$0         | \$0          | \$0         | \$0          |
|                           | Sum of NRST paid by student earnings/loans/savings | \$524,554     | \$77,451  | \$4,493    | \$58,303      | \$0      | \$36,571    | \$0          | \$269,218   | \$970,589    |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,325       | \$1,614   | \$115      | \$595         | \$0      | \$300       | \$0          | \$3,452     | \$1,219      |

**Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13**

**San Francisco  
By Discipline and Student Status**

|                                   |   | Discipline<br>Engineering/C<br>S* | Health<br>Sciences | Life Sciences    | Social<br>Sciences | Grand Total        |
|-----------------------------------|---|-----------------------------------|--------------------|------------------|--------------------|--------------------|
| <b>Stage</b>                      |   |                                   |                    |                  |                    |                    |
| <b>New</b>                        | Count of Students   | 32                                | 14                 | 43               | 3                  | 92                 |
|                                   | <b>Total NRST Revenue</b>                                 | <b>\$397,686</b>                  | <b>\$211,428</b>   | <b>\$639,318</b> | <b>\$45,306</b>    | <b>\$1,293,738</b> |
|                                   | <b>Total NRST covered by Fellowship</b>                   | <b>\$276,870</b>                  | <b>\$197,836</b>   | <b>\$600,556</b> | <b>\$45,306</b>    | <b>\$1,120,568</b> |
|                                   | NRST covered by UC fellowships                            | \$135,811                         | \$127,277          | \$474,893        | \$45,306           | \$783,287          |
|                                   | NRST covered by Fed fell                                  | \$141,059                         | \$69,564           | \$121,211        | \$0                | \$331,833          |
|                                   | NRST covered by Other fell                                | \$0                               | \$996              | \$4,452          | \$0                | \$5,447            |
|                                   | NRST covered by Unknown fellowships                       | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Total NRST covered by Remission</b>                    | <b>\$0</b>                        | <b>\$0</b>         | <b>\$0</b>       | <b>\$0</b>         | <b>\$0</b>         |
|                                   | NRST covered from UC RA remission                         | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Fed RA remission                        | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Other RA remission                      | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Unknown RA remission                    | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>                        | <b>\$13,592</b>    | <b>\$28,694</b>  | <b>\$0</b>         | <b>\$42,286</b>    |
|                                   | NRST covered by other Fed support                         | \$0                               | \$13,592           | \$13,592         | \$0                | \$27,184           |
|                                   | NRST covered by other Outside support                     | \$0                               | \$0                | \$15,102         | \$0                | \$15,102           |
|                                   | NRST covered by other Unknown support                     | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$120,816</b>                  | <b>\$0</b>         | <b>\$10,068</b>  | <b>\$0</b>         | <b>\$130,884</b>   |
|                                   | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$3,776</i>                    | <i>\$0</i>         | <i>\$234</i>     | <i>\$0</i>         | <i>\$1,423</i>     |
|                                   |   |                                   |                    |                  |                    |                    |
|                                   |   |                                   |                    |                  |                    |                    |
| <b>Continuing</b>                 | Count of Students   | 88                                | 5                  | 26               | -                  | 119                |
|                                   | <b>Total NRST Revenue</b>                                 | <b>\$518,502</b>                  | <b>\$75,510</b>    | <b>\$211,428</b> | <b>\$0</b>         | <b>\$805,440</b>   |
|                                   | <b>Total NRST covered by Fellowship</b>                   | <b>\$111,507</b>                  | <b>\$75,510</b>    | <b>\$110,748</b> | <b>\$0</b>         | <b>\$297,765</b>   |
|                                   | NRST covered by UC fellowships                            | \$72,147                          | \$60,408           | \$100,680        | \$0                | \$233,235          |
|                                   | NRST covered by Fed fell                                  | \$39,360                          | \$15,102           | \$0              | \$0                | \$54,462           |
|                                   | NRST covered by Other fell                                | \$0                               | \$0                | \$10,068         | \$0                | \$10,068           |
|                                   | NRST covered by Unknown fellowships                       | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Total NRST covered by Remission</b>                    | <b>\$0</b>                        | <b>\$0</b>         | <b>\$0</b>       | <b>\$0</b>         | <b>\$0</b>         |
|                                   | NRST covered from UC RA remission                         | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Fed RA remission                        | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Other RA remission                      | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Unknown RA remission                    | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Sum of NRST covered by Other support</b>               | <b>\$30,204</b>                   | <b>\$0</b>         | <b>\$15,102</b>  | <b>\$0</b>         | <b>\$45,306</b>    |
|                                   | NRST covered by other Fed support                         | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered by other Outside support                     | \$30,204                          | \$0                | \$15,102         | \$0                | \$45,306           |
|                                   | NRST covered by other Unknown support                     | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$376,791</b>                  | <b>\$0</b>         | <b>\$85,578</b>  | <b>\$0</b>         | <b>\$462,369</b>   |
|                                   | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$4,282</i>                    | <i>\$0</i>         | <i>\$3,291</i>   | <i>#DIV/0!</i>     | <i>\$3,885</i>     |
|                                   |   |                                   |                    |                  |                    |                    |
|                                   |   |                                   |                    |                  |                    |                    |
| <b>All Students<br/>With NRST</b> | Count of Students   | 120                               | 19                 | 69               | 3                  | 211                |
|                                   | <b>Total NRST Revenue</b>                                 | <b>\$916,188</b>                  | <b>\$286,938</b>   | <b>\$850,746</b> | <b>\$45,306</b>    | <b>\$2,099,178</b> |
|                                   | <b>Total NRST covered by Fellowship</b>                   | <b>\$388,377</b>                  | <b>\$273,346</b>   | <b>\$711,304</b> | <b>\$45,306</b>    | <b>\$1,418,333</b> |
|                                   | NRST covered by UC fellowships                            | \$207,958                         | \$187,685          | \$575,573        | \$45,306           | \$1,016,522        |
|                                   | NRST covered by Fed fell                                  | \$180,419                         | \$84,666           | \$121,211        | \$0                | \$386,296          |
|                                   | NRST covered by Other fell                                | \$0                               | \$996              | \$14,520         | \$0                | \$15,515           |
|                                   | NRST covered by Unknown fellowships                       | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Total NRST covered by Remission</b>                    | <b>\$0</b>                        | <b>\$0</b>         | <b>\$0</b>       | <b>\$0</b>         | <b>\$0</b>         |
|                                   | NRST covered from UC RA remission                         | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Fed RA remission                        | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Other RA remission                      | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | NRST covered from Unknown RA remission                    | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Sum of NRST covered by Other support</b>               | <b>\$30,204</b>                   | <b>\$13,592</b>    | <b>\$43,796</b>  | <b>\$0</b>         | <b>\$87,592</b>    |
|                                   | NRST covered by other Fed support                         | \$0                               | \$13,592           | \$13,592         | \$0                | \$27,184           |
|                                   | NRST covered by other Outside support                     | \$30,204                          | \$0                | \$30,204         | \$0                | \$60,408           |
|                                   | NRST covered by other Unknown support                     | \$0                               | \$0                | \$0              | \$0                | \$0                |
|                                   | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$497,607</b>                  | <b>\$0</b>         | <b>\$95,646</b>  | <b>\$0</b>         | <b>\$593,253</b>   |
|                                   | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$4,147</i>                    | <i>\$0</i>         | <i>\$1,386</i>   | <i>\$0</i>         | <i>\$2,812</i>     |
|                                   |   |                                   |                    |                  |                    |                    |
|                                   |   |                                   |                    |                  |                    |                    |

\*Includes ~90 students in a joint program with UC Berkeley. Their NRST was actually assessed by Berkeley, not UCSF. As a result, some of their NRST revenue and funds covering NRST are more properly associated with Berkeley, not UCSF as shown here.

Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13

Santa Barbara  
By Discipline and Student Status

| Stage                     |  | Discipline    |           |            |               |           | Physical    |              | Social    | Grand Total |
|---------------------------|--|---------------|-----------|------------|---------------|-----------|-------------|--------------|-----------|-------------|
|                           |  | Engineering/C | Fine Arts | Humanities | Life Sciences | OTHER     | Sciences    | Professional | Sciences  |             |
| New                       | Count of Students                                  | 59            | 15        | 38         | 15            | 2         | 92          | 15           | 37        | 273         |
|                           | Total NRST Revenue                                 | \$891,018     | \$226,530 | \$558,774  | \$221,496     | \$30,204  | \$1,389,384 | \$226,530    | \$553,740 | \$4,097,676 |
|                           | Total NRST covered by Fellowship                   | \$520,349     | \$218,112 | \$493,749  | \$176,190     | \$29,388  | \$954,565   | \$190,224    | \$435,987 | \$3,018,564 |
|                           | NRST covered by UC fellowships                     | \$476,555     | \$218,112 | \$452,312  | \$175,700     | \$29,388  | \$831,297   | \$175,122    | \$416,294 | \$2,774,780 |
|                           | NRST covered by Fed fell                           | \$28,620      | \$0       | \$0        | \$0           | \$0       | \$86,779    | \$0          | \$0       | \$115,399   |
|                           | NRST covered by Other fell                         | \$15,175      | \$0       | \$41,437   | \$490         | \$0       | \$36,489    | \$15,102     | \$19,693  | \$128,385   |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Total NRST covered by Remission                    | \$297,006     | \$0       | \$0        | \$45,306      | \$0       | \$362,448   | \$0          | \$40,272  | \$745,032   |
|                           | NRST covered from UC RA remission                  | \$104,036     | \$0       | \$0        | \$10,068      | \$0       | \$124,172   | \$0          | \$8,508   | \$246,784   |
|                           | NRST covered from Fed RA remission                 | \$154,376     | \$0       | \$0        | \$35,238      | \$0       | \$204,739   | \$0          | \$20,136  | \$414,489   |
|                           | NRST covered from Other RA remission               | \$38,594      | \$0       | \$0        | \$0           | \$0       | \$33,537    | \$0          | \$11,628  | \$83,758    |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST covered by Other support               | \$0           | \$0       | \$0        | \$0           | \$0       | \$33,503    | \$0          | \$0       | \$33,503    |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0        | \$0           | \$0       | \$33,503    | \$0          | \$0       | \$33,503    |
|                           | NRST covered by other Outside support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST paid by student earnings/loans/savings | \$73,663      | \$8,418   | \$65,025   | \$0           | \$816     | \$38,868    | \$36,306     | \$77,481  | \$300,577   |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,249       | \$561     | \$1,711    | \$0           | \$408     | \$422       | \$2,420      | \$2,094   | \$1,101     |
| Continuing                | Count of Students                                  | 88            | 4         | 12         | 9             | 10        | 32          | 10           | 18        | 183         |
|                           | Total NRST Revenue                                 | \$1,122,582   | \$60,408  | \$140,952  | \$95,646      | \$125,850 | \$377,550   | \$140,952    | \$231,564 | \$2,295,504 |
|                           | Total NRST covered by Fellowship                   | \$276,180     | \$42,423  | \$136,595  | \$55,374      | \$56,972  | \$184,683   | \$101,474    | \$154,897 | \$1,008,598 |
|                           | NRST covered by UC fellowships                     | \$230,874     | \$42,423  | \$106,391  | \$23,585      | \$42,279  | \$94,549    | \$63,249     | \$117,452 | \$720,802   |
|                           | NRST covered by Fed fell                           | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | NRST covered by Other fell                         | \$45,306      | \$0       | \$30,204   | \$31,789      | \$14,693  | \$90,134    | \$38,225     | \$37,445  | \$287,796   |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Total NRST covered by Remission                    | \$739,998     | \$0       | \$0        | \$40,272      | \$35,238  | \$110,748   | \$0          | \$20,136  | \$946,392   |
|                           | NRST covered from UC RA remission                  | \$140,523     | \$0       | \$0        | \$9,078       | \$10,068  | \$24,439    | \$0          | \$15,102  | \$199,211   |
|                           | NRST covered from Fed RA remission                 | \$380,626     | \$0       | \$0        | \$20,136      | \$25,170  | \$68,320    | \$0          | \$5,034   | \$499,286   |
|                           | NRST covered from Other RA remission               | \$218,849     | \$0       | \$0        | \$11,058      | \$0       | \$17,988    | \$0          | \$0       | \$247,895   |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST covered by Other support               | \$0           | \$0       | \$0        | \$0           | \$9,000   | \$0         | \$0          | \$0       | \$9,000     |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0        | \$0           | \$9,000   | \$0         | \$0          | \$0       | \$9,000     |
|                           | NRST covered by other Outside support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST paid by student earnings/loans/savings | \$106,404     | \$17,985  | \$4,357    | \$0           | \$24,640  | \$82,119    | \$39,478     | \$56,531  | \$331,514   |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,209       | \$4,496   | \$363      | \$0           | \$2,464   | \$2,566     | \$3,948      | \$3,141   | \$1,812     |
| All Students<br>With NRST | Count of Students                                  | 147           | 19        | 50         | 24            | 12        | 124         | 25           | 55        | 456         |
|                           | Total NRST Revenue                                 | \$2,013,600   | \$286,938 | \$699,726  | \$317,142     | \$156,054 | \$1,766,934 | \$367,482    | \$785,304 | \$6,393,180 |
|                           | Total NRST covered by Fellowship                   | \$796,529     | \$260,535 | \$630,344  | \$231,564     | \$86,360  | \$1,139,248 | \$291,698    | \$590,884 | \$4,027,162 |
|                           | NRST covered by UC fellowships                     | \$707,429     | \$260,535 | \$558,703  | \$199,284     | \$71,667  | \$925,846   | \$238,371    | \$533,746 | \$3,495,582 |
|                           | NRST covered by Fed fell                           | \$28,620      | \$0       | \$0        | \$0           | \$0       | \$86,779    | \$0          | \$0       | \$115,399   |
|                           | NRST covered by Other fell                         | \$60,480      | \$0       | \$71,641   | \$32,280      | \$14,693  | \$126,623   | \$53,327     | \$57,138  | \$416,181   |
|                           | NRST covered by Unknown fellowships                | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Total NRST covered by Remission                    | \$1,037,004   | \$0       | \$0        | \$85,578      | \$35,238  | \$473,196   | \$0          | \$60,408  | \$1,691,424 |
|                           | NRST covered from UC RA remission                  | \$244,559     | \$0       | \$0        | \$19,146      | \$10,068  | \$148,611   | \$0          | \$23,610  | \$445,995   |
|                           | NRST covered from Fed RA remission                 | \$535,002     | \$0       | \$0        | \$55,374      | \$25,170  | \$273,060   | \$0          | \$25,170  | \$913,776   |
|                           | NRST covered from Other RA remission               | \$257,443     | \$0       | \$0        | \$11,058      | \$0       | \$51,525    | \$0          | \$11,628  | \$331,653   |
|                           | NRST covered from Unknown RA remission             | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST covered by Other support               | \$0           | \$0       | \$0        | \$0           | \$9,000   | \$33,503    | \$0          | \$0       | \$42,503    |
|                           | NRST covered by other Fed support                  | \$0           | \$0       | \$0        | \$0           | \$9,000   | \$33,503    | \$0          | \$0       | \$42,503    |
|                           | NRST covered by other Outside support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | NRST covered by other Unknown support              | \$0           | \$0       | \$0        | \$0           | \$0       | \$0         | \$0          | \$0       | \$0         |
|                           | Sum of NRST paid by student earnings/loans/savings | \$180,067     | \$26,403  | \$69,382   | \$0           | \$25,456  | \$120,987   | \$75,784     | \$134,012 | \$632,091   |
|                           | Per capita NRST paid by earnings/loans/savings     | \$1,225       | \$1,390   | \$1,388    | \$0           | \$2,121   | \$976       | \$3,031      | \$2,437   | \$1,386     |

**Estimated Nonresident Supplemental Tuition and the Student Support Funds that Cover It  
Academic Doctoral Students, 2012-13**

**Santa Cruz**

**By Discipline and Student Status**

| Stage                     | Discipline  |                  |                  |                  |                  | Physical        |                  | Grand Total        |
|---------------------------|---|------------------|------------------|------------------|------------------|-----------------|------------------|--------------------|
|                           | Engineering/C<br>S  | Fine Arts        | Humanities       | Life Sciences    | OTHER            | Sciences        | Social Sciences  |                    |
| New                       | Count of Students   | 19               | 12               | 10               | 14               | 2               | 39               | 118                |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$271,836</b> | <b>\$176,190</b> | <b>\$151,020</b> | <b>\$201,360</b> | <b>\$30,204</b> | <b>\$573,876</b> | <b>\$1,736,730</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$192,381</b> | <b>\$151,179</b> | <b>\$135,918</b> | <b>\$93,612</b>  | <b>\$30,204</b> | <b>\$495,317</b> | <b>\$1,339,704</b> |
|                           | NRST covered by UC fellowships                            | \$192,381        | \$151,179        | \$135,918        | \$82,531         | \$20,784        | \$470,420        | \$1,294,306        |
|                           | NRST covered by Fed fell                                  | \$0              | \$0              | \$0              | \$11,081         | \$0             | \$24,897         | \$35,978           |
|                           | NRST covered by Other fell                                | \$0              | \$0              | \$0              | \$0              | \$9,420         | \$0              | \$9,420            |
|                           | NRST covered by Unknown fellowships                       | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$65,442</b>  | <b>\$0</b>       | <b>\$15,102</b>  | <b>\$65,442</b>  | <b>\$0</b>      | <b>\$40,272</b>  | <b>\$195,326</b>   |
|                           | NRST covered from UC RA remission                         | \$20,136         | \$0              | \$15,102         | \$7,551          | \$0             | \$14,431         | \$57,510           |
|                           | NRST covered from Fed RA remission                        | \$35,238         | \$0              | \$0              | \$51,301         | \$0             | \$20,807         | \$112,380          |
|                           | NRST covered from Other RA remission                      | \$5,034          | \$0              | \$0              | \$6,590          | \$0             | \$5,034          | \$20,402           |
|                           | NRST covered from Unknown RA remission                    | \$5,034          | \$0              | \$0              | \$0              | \$0             | \$0              | \$5,034            |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>      | <b>\$0</b>       | <b>\$0</b>         |
|                           | NRST covered by other Fed support                         | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | NRST covered by other Outside support                     | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | NRST covered by other Unknown support                     | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$14,013</b>  | <b>\$25,011</b>  | <b>\$0</b>       | <b>\$42,306</b>  | <b>\$0</b>      | <b>\$38,287</b>  | <b>\$201,700</b>   |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$738</i>     | <i>\$2,084</i>   | <i>\$0</i>       | <i>\$3,022</i>   | <i>\$0</i>      | <i>\$982</i>     | <i>\$1,709</i>     |
| Continuing                | Count of Students   | 38               | 7                | 1                | 8                | -               | 22               | 96                 |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$473,196</b> | <b>\$95,646</b>  | <b>\$15,102</b>  | <b>\$100,680</b> | <b>\$0</b>      | <b>\$281,904</b> | <b>\$1,243,398</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$55,785</b>  | <b>\$46,381</b>  | <b>\$15,102</b>  | <b>\$29,896</b>  | <b>\$0</b>      | <b>\$58,881</b>  | <b>\$306,523</b>   |
|                           | NRST covered by UC fellowships                            | \$55,785         | \$46,381         | \$15,102         | \$14,377         | \$0             | \$48,058         | \$280,180          |
|                           | NRST covered by Fed fell                                  | \$0              | \$0              | \$0              | \$15,519         | \$0             | \$10,823         | \$26,343           |
|                           | NRST covered by Other fell                                | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | NRST covered by Unknown fellowships                       | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$347,346</b> | <b>\$0</b>       | <b>\$0</b>       | <b>\$15,102</b>  | <b>\$0</b>      | <b>\$105,714</b> | <b>\$495,832</b>   |
|                           | NRST covered from UC RA remission                         | \$83,910         | \$0              | \$0              | \$0              | \$0             | \$48,590         | \$147,602          |
|                           | NRST covered from Fed RA remission                        | \$167,871        | \$0              | \$0              | \$10,068         | \$0             | \$39,534         | \$230,041          |
|                           | NRST covered from Other RA remission                      | \$95,566         | \$0              | \$0              | \$5,034          | \$0             | \$17,590         | \$118,189          |
|                           | NRST covered from Unknown RA remission                    | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>      | <b>\$0</b>       | <b>\$0</b>         |
|                           | NRST covered by other Fed support                         | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | NRST covered by other Outside support                     | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | NRST covered by other Unknown support                     | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$70,065</b>  | <b>\$49,265</b>  | <b>\$0</b>       | <b>\$55,682</b>  | <b>\$0</b>      | <b>\$117,309</b> | <b>\$441,043</b>   |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$1,844</i>   | <i>\$7,038</i>   | <i>\$0</i>       | <i>\$6,960</i>   | <i>#DIV/0!</i>  | <i>\$5,332</i>   | <i>\$4,594</i>     |
| All Students<br>With NRST | Count of Students   | 57               | 19               | 11               | 22               | 2               | 61               | 214                |
|                           | <b>Total NRST Revenue</b>                                 | <b>\$745,032</b> | <b>\$271,836</b> | <b>\$166,122</b> | <b>\$302,040</b> | <b>\$30,204</b> | <b>\$855,780</b> | <b>\$2,980,128</b> |
|                           | <b>Total NRST covered by Fellowship</b>                   | <b>\$248,166</b> | <b>\$197,560</b> | <b>\$151,020</b> | <b>\$123,508</b> | <b>\$30,204</b> | <b>\$554,198</b> | <b>\$1,646,227</b> |
|                           | NRST covered by UC fellowships                            | \$248,166        | \$197,560        | \$151,020        | \$96,908         | \$20,784        | \$518,477        | \$1,574,486        |
|                           | NRST covered by Fed fell                                  | \$0              | \$0              | \$0              | \$26,600         | \$0             | \$35,721         | \$62,321           |
|                           | NRST covered by Other fell                                | \$0              | \$0              | \$0              | \$0              | \$9,420         | \$0              | \$9,420            |
|                           | NRST covered by Unknown fellowships                       | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | <b>Total NRST covered by Remission</b>                    | <b>\$412,788</b> | <b>\$0</b>       | <b>\$15,102</b>  | <b>\$80,544</b>  | <b>\$0</b>      | <b>\$145,986</b> | <b>\$691,158</b>   |
|                           | NRST covered from UC RA remission                         | \$104,046        | \$0              | \$15,102         | \$7,551          | \$0             | \$63,021         | \$205,111          |
|                           | NRST covered from Fed RA remission                        | \$203,109        | \$0              | \$0              | \$61,369         | \$0             | \$60,341         | \$342,421          |
|                           | NRST covered from Other RA remission                      | \$100,600        | \$0              | \$0              | \$11,624         | \$0             | \$22,624         | \$138,592          |
|                           | NRST covered from Unknown RA remission                    | \$5,034          | \$0              | \$0              | \$0              | \$0             | \$0              | \$5,034            |
|                           | <b>Sum of NRST covered by Other support</b>               | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>       | <b>\$0</b>      | <b>\$0</b>       | <b>\$0</b>         |
|                           | NRST covered by other Fed support                         | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | NRST covered by other Outside support                     | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | NRST covered by other Unknown support                     | \$0              | \$0              | \$0              | \$0              | \$0             | \$0              | \$0                |
|                           | <b>Sum of NRST paid by student earnings/loans/savings</b> | <b>\$84,078</b>  | <b>\$74,276</b>  | <b>\$0</b>       | <b>\$97,988</b>  | <b>\$0</b>      | <b>\$155,596</b> | <b>\$642,743</b>   |
|                           | <i>Per capita NRST paid by earnings/loans/savings</i>     | <i>\$1,475</i>   | <i>\$3,909</i>   | <i>\$0</i>       | <i>\$4,454</i>   | <i>\$0</i>      | <i>\$2,551</i>   | <i>\$3,003</i>     |

## **Methodology for Estimating the Financial Impact of Eliminating Nonresident Supplemental Tuition for Academic Doctoral Students<sup>1</sup> After their First Year**

Assessing the financial impact of eliminating Nonresident Supplemental Tuition (NRST) for certain academic doctoral students requires estimating:

- a) the amount of Nonresident Supplemental Tuition (NRST) revenue attributable to academic doctoral students in various categories,
- b) the funding currently provided by different types and sources of support to pay students' NRST, and
- c) the extent to which funding in (b), which would be "freed up" by the elimination of NRST, could be repurposed to help cover the gap in a campus's operating budget created by the lost NRST revenue calculated in (a).

Details behind these estimates are provided below. All estimates are based on 2012-13 student data from the Corporate Student System (CSS).

### Estimating NRST Revenue Associated with Academic Doctoral Students

Three distinct categories of academic doctoral students are assessed NRST:

1. Domestic nonresident students – typically those in their first year of enrollment (after which they usually qualify for in-state tuition)
2. International students who have not yet advanced to candidacy
3. International students who advanced to candidacy 3 or more years ago

Information about students' residency classification, domestic vs. international status, and candidacy status were obtained from the Corporate Student System to group students into these three categories. Each student was assumed to represent \$15,102 of NRST revenue, prorated by the portion of the academic year that the student was actually enrolled. (For students whose category changed mid-year – e.g., someone who advanced to candidacy in winter, or whose 3-year exemption from NRST elapsed mid-year – their estimated NRST was adjusted to reflect the actual number of terms they were subject to NRST during that year.)

### Attributing NRST Coverage to Sources of Support

In many instances, data in the CSS do not indicate what awards received by a student were specifically intended to cover some or all of a student's NRST (versus their in-state tuition and fees, campus-based fees, or stipend). To estimate the funding awarded to cover NRST, a hierarchy was used.

1. NRST remissions associated with Graduate Student Researcher (GSR) appointments were assumed to cover NRST for students with such remissions.

<sup>1</sup> For purposes of this analysis, students in Master of Fine Arts (MFA) programs are included in figures for academic doctoral students, since the MFA represents the terminal academic degree for that discipline.

2. Fellowships from UC and non-UC sources were applied to a student's remaining NRST charges (if any) after taking remissions from (1) into account. For students with fellowships from multiple sources (e.g., \$10,000 from UC and \$10,000 from an outside agency), NRST coverage was attributed proportionately to each fellowship.
3. Other forms of support (e.g., payments from employers or Veteran's educational benefits), when known, were applied to any remaining NRST charges.
4. NRST not covered by remissions, fellowships, or other forms of gift aid were assumed to be paid by the student – either from their wages from an appointments as a GSR or Teaching Assistant (TA), or from other resources such as loans, savings, or earnings not captured in the CSS.

Within categories (1), (2), and (3), funds were attributed to various sources – University, Federal government, other outside agency, or unknown – based on the fund code associated with each award in the CSS. The CSS does not have reliable information about the fund source used to pay NRST remissions for GSRs; for those awards, funding was attributed to the same fund source(s) that paid the student's GSR wages.

#### *Evaluating the Possible "Re-Purposing" of Funds to Estimate a "Net" Cost*

The total amount of lost NRST revenue represents the "gross" cost of eliminating NRST for certain students. If NRST were eliminated, however, a campus could repurpose some of the funding currently used to cover NRST (estimated as described above) to other parts of the campus budget in order to backfill some of the gap created by the lost NRST revenue, resulting in a lower "net" cost. The extent to which this is possible – or desirable – depends on the type of award.

To help campuses derive their own estimates of the potential "net cost" under different scenarios, tables were created to illustrate how much funding could (or could not) be potentially "freed up" from various sources if NRST were eliminated. Those sources are described below:

- **NRST covered by UC Fellowships.** These funds could be used to backfill a portion of lost NRST revenue if a campus decided to reduce its UC fellowship budget by the amount shown. Alternatively, a campus could keep some or all of these funds budgeted for graduate student support and address the budget gap created by the lost NRST revenue in another way.
- **NRST covered by Fed Fellowships and NRST covered by Other Fellowships.** These funds could not be easily repurposed to backfill lost NRST revenue because they were awarded by an outside agency. These funds would either revert to the funding agency or remain with the student (thus enhancing the student's net stipend). In either case, the figures represent a loss of income to UC.
- **NRST covered by Unknown Fellowships.** These fellowships lack any identifiable fund source on the CSS. They are most likely to be from outside agencies, though, and hence not available to backfill lost NRST revenue.
- **NRST Covered by UC RA remission.** These funds are derived from UC-funded research grants (including State-funded grants). To the extent that such funds no longer contribute to NRST revenue, faculty researchers would have more funds available for other purposes, but UC core funds would decline. How the University would address such a decline – for example, by reducing UC's research budget to account for the fact that grants no longer needed to cover NRST, or by taking cuts elsewhere in the University's budget – would need to be determined.

- **NRST Covered by Federal RA remission and NRST Covered by Other RA remission.** These funds are derived from research grants from outside entities. To the extent that such funds no longer contribute to NRST revenue, faculty researchers would have more funds available for other purposes, but UC core funds would decline.
- **NRST Covered by Unknown RA remission.** These funds are derived from research grants whose fund sources are unknown. They could be UC, federal, or other extramural funds.
- **NRST Covered by Other Federal support and NRST Covered by Other Outside Support.** These funds are from federal programs (e.g., Chapter 33 GI Bill benefits) and other third-party payers (e.g., a student's employer or host country) that, depending on the program, may or may not be directly tied to the charges assessed to the student. To the extent that NRST is reduced, this funding would likely revert to the third party or to the student.
- **NRST Paid by Student Earnings/Loans/Savings.** These funds represent the difference between (a) the total NRST charged to students and (b) the combined funding the student received from the sources listed above. Funds in this category could not be "recaptured" by the University – they would revert to the student, with an equivalent loss of revenue to UC. Figures are presented in total dollar amounts as well as on a per capita basis to facilitate comparison between campuses or between disciplines at the same campus.

## Competitive Net Stipends

### Introduction

Although many of UC's doctoral programs are rated among the best in the world, uncompetitive net stipends threaten to seriously undermine the quality of those programs. The net stipend is defined as the total compensation paid to a graduate student, minus the tuition and fees that are paid for or by the student. Graduate student stipends are to a large degree determined by the salaries that doctoral students can earn as teaching assistants or graduate student researchers (GSRs), and any fellowship stipends they are awarded. In addition, many support offers include payment of the student's tuition and fees. Teaching assistant salaries and benefits are determined at the systemwide level<sup>1</sup>, and GSR salaries are established locally. Individual graduate programs choose where on a set of centrally determined scales to set their GSR salaries; local decisions are based on available resources and competition in the respective disciplines. For students who receive fellowships from the University, rather than employment, net stipends are paid from the same pool of funds that pays for their tuition and, if applicable, non-resident supplemental tuition (NRST). It should be said that many students are supported by more than one type of stipend during the course of their doctoral studies and there are differences in the composition of offers for students at any UC campus and those at its peer institutions. For example, UC has historically trailed competitors in the percent of students offered institutional fellowships and research assistantships, and has offered a higher percentage of teaching assistantships than other institutions. In 2013, however, the percent of students offered UC institutional fellowships rose to 66% compared to 62% among UC's competitors. Fellowships remained the most common type of support offered by UC to first-year students, and were cited far more frequently in the 2013 Graduate Student Support Survey than either teaching assistantships (28%) or research assistantships (24%).

UC's net stipend offers are lower than those of its competitors, and have been for a long time, which lessens UC's ability to attract the best Ph.D. students from around the world. Participants at the *All-UC Doctoral Student Support Conference* identified uncompetitive net stipends as a strategic area of the highest priority. Systemwide, the gap (compared to UC's peer institutions) in the average net stipend offered to UC admits stood at -\$1,406 in 2013. Although UC has increased its net stipends by \$1,772 from 2007 to 2013, the University's competitors have increased their net stipends by \$2,057 during the same time period. Students are more likely to choose schools that offer higher stipends, pay moving expenses, and offer signing bonuses – even if the differences amount to one or two thousand dollars annually. Insufficient offers of financial support in recruitment packages – committing inadequate funding and/or too few years of support – often result in UC losing the best potential students to other institutions. This problem poses a direct threat to the programs that have already achieved national and international prominence, and it reduces the likelihood that rising programs will achieve equal distinction. UC offers are not as generous and are less likely to include fellowship funding that is not linked to an employment commitment. Indeed, the data show a very linear relationship between acceptance of the UC admission letter and the amount over and below the competing stipend offer. An analysis of the Graduate Student Support Survey shows that the magnitude of UC's competitive net stipend gap also matters. For instance, when UC's net stipend is greater than the non-UC net stipend by at least \$10,000, 83% of respondents choose to attend UC. When UC net stipends are lower than non-UC's by at least \$10,000, only 21% choose UC.

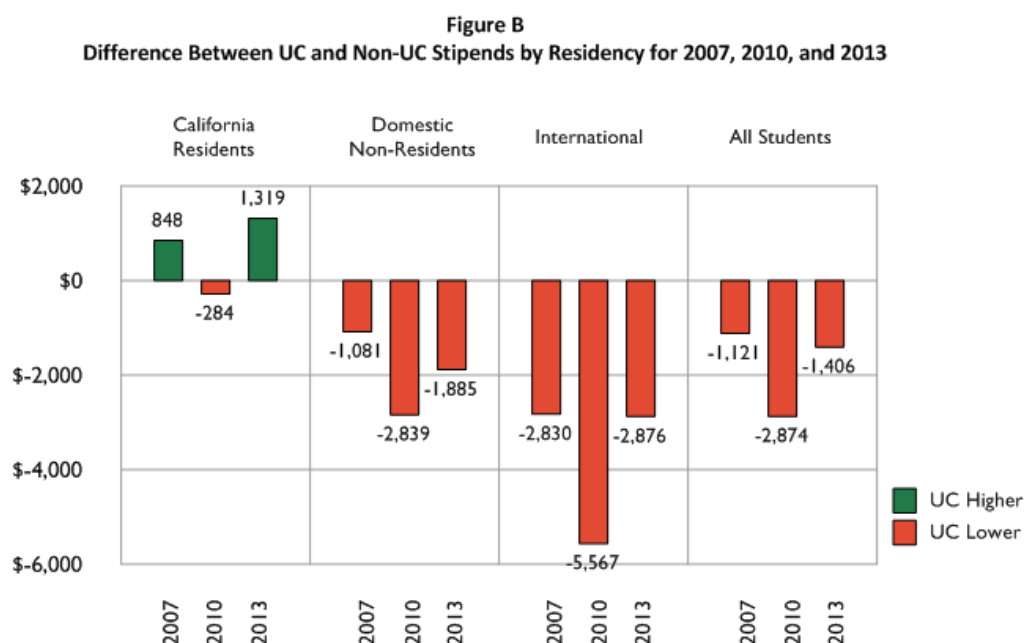
The net stipend gap also affects international students differentially. In world-class research universities, doctoral education is an international activity. UC recruits students from throughout California, the nation, and the world. Faculty prize applicants who provide evidence of strong intellectual knowledge and skills in relevant areas, lively curiosity, good fit with the strengths and directions of the degree program, and personal characteristics and interests that increase diversity in the student body. In 2013-14, 70% of UC Ph.D. students were domestic in-State students, and 23% of UC Ph.D. students were international<sup>2</sup>. As U.S. residents can become California residents after one year (and are encouraged to do so), the 70% figure for California residents among all enrolled Ph.D. students includes many students who came from elsewhere in the U.S. in order to attend a UC Ph.D. program. International students cannot become

<sup>1</sup> GSI salaries are negotiated through negotiations between UCOP and the United Auto Workers.

<sup>2</sup> Approximately 7% of domestic Ph.D. students retain their out-of-state status for one reason or another.



California residents at any point in their Ph.D. program. Enrollment of international Ph.D. students at UC has declined in recent years from a high of about 30% to about 23% today. This fraction is well below the average percentage of international doctoral enrollment for UC's peer institutions. For example, the median percentage of international Ph.D. students at the Association of American Universities (AAU) peer institutions was close to 40%. UC faculty believe that the University is not enrolling enough international students, largely because of limited capacity to provide adequate financial support packages, which is coupled with the high cost of NRST that is typically born by PIs. The following chart shows the significant net stipend gap(s) for California residents, domestic non-residents, and international students.



### Campuses and Disciplines

As has been the case in past iterations of the Graduate Student Support Survey, there is a wide variance in the competitiveness of UC's offers by campus, (see the following table). For instance, the average net stipend offered by Riverside exceeded that of its competitors by over \$7,100. Irvine also did quite well, beating the average net stipends of its competitors by \$3,367. UCSF is only at a slight competitive disadvantage, with its net stipend of \$739 only lower than those of its chief competitors. In contrast, the average net stipend offered by Santa Barbara was \$3,900 less than that of its competitors. The campuses with the greatest improvement in either closing the deficit between it and its competitors between 2010 and 2013, or increasing its existing advantage, were Berkeley, Irvine, Los Angeles, San Diego, and San Francisco. It is useful to note that not all UC campuses compete against the same institutions. The ten most frequently cited institutions accounted for 39% of all responses, and the institutions varied only slightly from those identified in the previous survey.<sup>3</sup> Across the board, Stanford University is consistently identified as the top UC competitor, followed by the University of Washington, the Massachusetts Institute of Technology (MIT), and Harvard University. The relative difference in the competitiveness between the campuses is a function of many factors – dollars available for support as well as the different mix of competitors. For instance, Irvine and Riverside, which both had relative competitive advantages over some of the other UC campuses, compete for many of the same students and with the many of the same non-UC institutions – the University of Southern California, California Institute of Technology, the University of Texas at Austin, the University of Michigan at Ann Arbor, and Arizona State University.<sup>4</sup> The performance of UCSF is particularly impressive given its principal competitors – Stanford, MIT, Harvard, California Institute of Technology, and Princeton. In spite of the mix of competitors, some campuses are taking concerted actions to address these relative gaps. For instance, Riverside has been very active in supplementing USAP funds to increase its graduate fellowships; these actions may have had the most impact in improving its competitive position. These efforts have indeed paid

<sup>3</sup> Among responses who were dual admits.

<sup>4</sup> It should be noted the UCI also competes with Stanford.

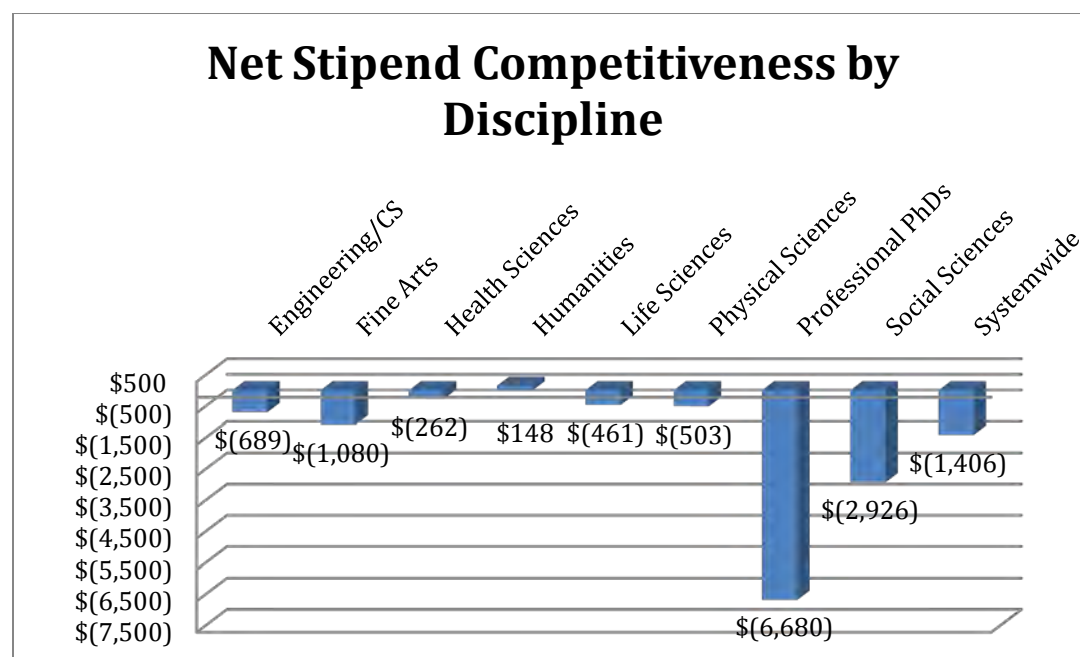
dividends, as Riverside has had the largest proportional increase in new graduate students over the last three years; the 2014 cohort is up 25% over the 2012 entering cohort. This is in large part due to stronger support packages (both in length of support and overall dollars committed).

#### Trends in Per Capita Net Stipend by Top-Choice UC Campus\*

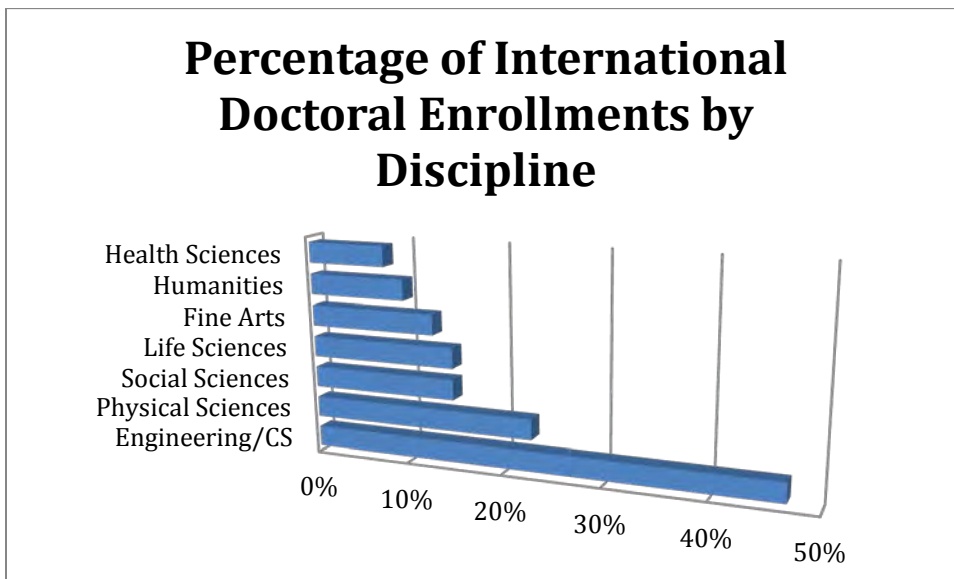
|               | 2007                      |                               |            | 2010                      |                               |            | 2013                      |                               |            |
|---------------|---------------------------|-------------------------------|------------|---------------------------|-------------------------------|------------|---------------------------|-------------------------------|------------|
|               | Per Capita UC Net Stipend | Per Capita Non-UC Net Stipend | Difference | Per Capita UC Net Stipend | Per Capita Non-UC Net Stipend | Difference | Per Capita UC Net Stipend | Per Capita Non-UC Net Stipend | Difference |
| Berkeley      | \$21,859                  | \$24,012                      | -\$2,153   | \$22,417                  | \$26,845                      | -\$4,428   | \$24,802                  | \$26,743                      | -\$1,942   |
| Davis         | \$17,024                  | \$19,650                      | -\$2,626   | \$17,493                  | \$19,017                      | -\$1,524   | \$18,563                  | \$21,746                      | -\$3,183   |
| Irvine        | \$20,915                  | \$19,026                      | \$1,889    | \$20,151                  | \$19,273                      | \$878      | \$23,362                  | \$19,995                      | \$3,367    |
| Los Angeles   | \$16,743                  | \$19,595                      | -\$2,852   | \$15,446                  | \$21,919                      | -\$6,473   | \$18,541                  | \$20,854                      | -\$2,313   |
| Merced        | \$24,362                  | \$26,788                      | -\$2,426   | \$19,495                  | \$17,538                      | \$1,957    | \$15,590                  | \$18,167                      | -\$2,577   |
| Riverside     | \$17,033                  | \$11,354                      | \$5,679    | \$21,182                  | \$14,668                      | \$6,514    | \$21,400                  | \$14,260                      | \$7,140    |
| San Diego     | \$18,223                  | \$20,756                      | -\$2,534   | \$20,382                  | \$23,936                      | -\$3,554   | \$20,512                  | \$21,822                      | -\$1,310   |
| San Francisco | \$28,344                  | \$29,095                      | -\$751     | \$28,246                  | \$30,242                      | -\$1,996   | \$29,390                  | \$30,129                      | -\$739     |
| Santa Barbara | \$18,909                  | \$19,538                      | -\$630     | \$18,153                  | \$21,918                      | -\$3,766   | \$18,636                  | \$22,590                      | -\$3,953   |
| Santa Cruz    | \$18,750                  | \$16,735                      | \$2,015    | \$18,754                  | \$18,163                      | \$591      | \$13,377                  | \$17,337                      | -\$3,960   |
| Systemwide    | \$19,450                  | \$20,571                      | -\$1,121   | \$19,777                  | \$22,651                      | -\$2,874   | \$21,222                  | \$22,628                      | -\$1,406   |

\*2007 and 2010 dollars adjusted to 2013 dollars based on changes in the Consumer Price Index.

UC's competitiveness has improved in most disciplines – notably, in all the STEM fields. Engineering/Computer Science and Health Sciences became significantly more competitive at UC, cutting their competitive gap by over \$6,200 and \$4,000 between 2010 and 2013, respectively. That said, UC only has a competitive advantage in one discipline, the Humanities. UC's greatest competitive disadvantage is in the Social Sciences, where the average stipend among UC competitors exceeded UC's average net stipend by more than \$2,900.



An examination of the relative mix of international enrollments by discipline alongside the net stipend gaps may shed some light on this issue. One would expect that disciplines that attract large numbers of international students (e.g., the STEM fields) would need to offer higher stipends to remain competitive due to the impact of NRST. The following chart shows that large numbers of Engineering and Computer Science Ph.D. students are international students, followed by the Physical Sciences, Social Sciences, and the Life Sciences. Indeed, all of these disciplines find themselves at a competitive disadvantage in terms of net stipends. That said, the competitive disadvantage of Engineering and Computer Science is only slight (-\$689) when compared to the large percentage of international students that these doctoral programs enroll (47%). This might be possible due to the fact that there is greater funding in these fields in the form of faculty extramural grants than there are in the Humanities, Fine Arts, or the Social Sciences. Departments in these latter fields are forced to make fewer offers to international students simply because they do not have the resources to do so (even if there are high quality international Ph.D. applicants). For instance, it is highly desirable to attract native speakers to UC's foreign language doctoral programs, who by definition would be international students. However, given the combined deleterious effects of both NRST and less-than-competitive net stipends, at least one prominent language program was forced to take no international students at all. While the Humanities do indeed register a slight competitive advantage of \$148 in its net stipends across the campuses, only 10% of its UC doctoral students are international. Therefore, UC may want to attract (and enroll) more international students in the Humanities, but cannot; the advantage may pertain mostly to domestic students. Fine Arts and Social Sciences are two disciplinary areas that are at a fairly large competitive disadvantage when it comes to net stipends (-\$2,926 and -\$1,080 respectively). However, both of these fields also enroll between 13% and 15% international students.



UC campuses also compete with each other for the same students; this would not be reflected in the Survey however. We therefore do not have an estimate of the net stipend gap between campuses, and or campuses within disciplines. That said, students did report stipends offered across the campuses in certain fields show a high degree of variance (see table below). However, given the low number of responses for some campuses in some disciplines, much of this data may not reflect the typical stipend amounts for these disciplines at UC campuses. For those disciplines that do have robust response rates, we see the following net stipends in selected disciplines.

| Campus Net Stipends in Engineering, Life Sciences, the Physical Sciences, & the Social Sciences* |          |               |          |                   |          |                 |          |            |          |
|--|----------|---------------|----------|-------------------|----------|-----------------|----------|------------|----------|
| Engineering/CS   |          | Life Sciences |          | Physical Sciences |          | Social Sciences |          | Humanities |          |
| Campus   | Stipend  | Campus        | Stipend  | Campus            | Stipend  | Campus          | Stipend  | Campus     | Stipend  |
| UCR  | \$23,558 | UCI           | \$31,660 | UCB               | \$28,660 | UCLA            | \$25,093 | UCB        | \$24,493 |
| UCB  | \$22,953 | UCSF          | \$30,834 | UCI               | \$26,331 | UCB             | \$23,416 | UCLA       | \$21,964 |
| UCSB   | \$21,697 | UCSD          | \$29,874 | UCR               | \$24,823 | UCI             | \$20,588 | UCSD       | \$19,331 |
| UCI  | \$18,419 | UCB           | \$29,594 | UCLA              | \$24,343 | UCSD            | \$15,586 | UCSB       | \$13,445 |
| UCD  | \$16,680 | UCLA          | \$24,751 | UCD               | \$23,826 | UCD             | \$12,429 |            |          |
| UCSD   | \$14,771 | UCR           | \$21,666 | UCSD              | \$22,638 |                 |          |            |          |
| UCSC   | \$12,867 | UCD           | \$20,661 | UCSB              | \$22,407 |                 |          |            |          |
| UCLA   | \$4,428  |               |          | UCSC              | \$20,804 |                 |          |            |          |
| *Disciplines/campuses with less than 30 responses were eliminated.                               |          |               |          |                   |          |                 |          |            |          |

### Closing the Net Stipend Gap

Closing the competitive net stipend gap will take additional resources. In 2013-14, UC enrolled 21,974 academic doctoral students. ***In order to close the average current gap of -\$1,406, UC needs an additional \$31M to make itself nominally competitive with its peer institutions.*** If the University received such additional funding for graduate support, funding would not be equally distributed across all campuses and all areas. As shown above, some campuses are uncompetitive in some areas and competitive in other areas. In such a scenario, UCOP would require the campuses to submit a plan on how they would strategically invest additional funding for net stipends. Some of this funding would also go to those campuses that are under-enrolled in terms of doctoral students. Indeed, as part of the proposed 2015-16 budget, \$50M is devoted to “academic quality”. Although support for Ph.D. students would compete for other strategic priorities within the larger category of academic quality, partially closing the net stipend gap should be a key consideration.

There is also considerable danger in electing to do nothing now and waiting to address this problem later when the University’s doctoral population will be much larger. For instance, UC’s long-range enrollment plan projects 27,655 academic doctoral students by 2020-21. If the net stipend gap remains the same, and nothing is done in the intervening years, UC would need almost \$38M to close it by 2020-21 in inflation-adjusted dollars.<sup>5</sup> In other words, a minimum of \$31M is needed to close the current competitive gap, but this will increase to \$38m by 2020-21 if no action is taken.

While \$31M would close the nominal systemwide net stipend gap now, it does not accurately indicate what UC needs to challenge its primary competitors. Stanford, the University of Washington at Seattle, MIT, Harvard, and the University of Michigan at Ann Arbor were among the top 25% of cited institutions in the 2013 Graduate Student Support Survey. In addition, these top-tier competitors were not only cited at a few of UC top-rated campuses; these competitors were cited by admits to most of UC’s campuses. Therefore, in order to make itself competitive with these top institutions currently, the University would need to raise its average stipend by \$1,942, or allocate an additional \$42.7M systemwide. While UC has a number of options to improve its competitiveness in net stipends, if nothing is done now, its ability to consistently attract the very best Ph.D. students in each cohort will be significantly diluted with every passing year.

### Cost of Living Differences

The dollar amounts of the net stipends noted in this analysis do not reflect differences in the cost of living in the areas where UC campuses and other institutions are located. For the purposes of simplification, nominal net stipend differences have been used. That said, two similar net stipends can provide very different lifestyles depending on the local cost of living (housing, transportation, etc.), which may in turn influence students’ enrollment decisions. In the

<sup>5</sup> At an assumed 3% inflation rate.

Graduate Student Support Survey, a local cost of living (COL) index obtained from a proprietary database was used, which captures each institution's local cost of living relative to a national average, assuming a common student lifestyle. Once a COL index was established for each institution, the indexes were applied to a standard graduate student budget to calculate a COL adjustor, represents the estimated difference in purchasing power between the net stipends offered by UC and its competitor institutions. On average, UC campuses are located in communities with an average COL that is 73% higher than the national average; for UC competitor institutions, the comparable figure is 54%. The relatively higher cost of UC communities results in an average COL adjustor of -\$2,574. **At the systemwide level, UC's nominal competitive gap of -\$1,406 is equivalent to a competitive gap of -\$3,980 in terms of students' actual purchasing power. If one were to take actual COL differences into account, the University would need almost \$87.5M to close the gap in terms of restoring UC students' purchasing power.**

### **Goals**

- 1) Close the net stipend gap.** Meet the current per capita net stipend gap of \$1,406 for all UC campuses (\$31M systemwide).
- 2) Competitiveness with UC's top peer institutions.** Make UC's net stipends competitive to the top 25% of cited non-UC institutions cited in the 2013 Graduate Student Support Survey (\$42.7M systemwide).
- 3) Future Net Stipend Competitiveness.** Ensure that UC can offer competitive net stipends to future numbers of enrolled doctoral students (\$38M systemwide based 27,655 projected enrolled doctoral students by 2020-21).

### **Recommendations**

- 1) Identify Additional Resources.** Identify existing resources and/or free up other sources of revenue to partially bridge the University's net stipend gap on all of its ten campuses.
- 2) Philanthropy.** Work with UC Regents to develop philanthropy targeting the creation of new fellowships and scholarships for doctoral students.
- 3) Balanced Budget.** Achieve an overall balanced University budget in order to make the needed investments in doctoral student support. For instance, the University's long-range financial plan (which will be presented at the November Regents meeting), calls for an annual investment of \$50M into academic quality, with increased graduate enrollment as one of the investment areas.
- 4) Data Collection.** While the University has relied upon the Graduate Student Support Survey for information on net stipends, it may be useful to collect data directly from academic departments and Graduate Divisions on their stipends.

## Multi-Year Offers and Transparent Offer Letters

### Introduction

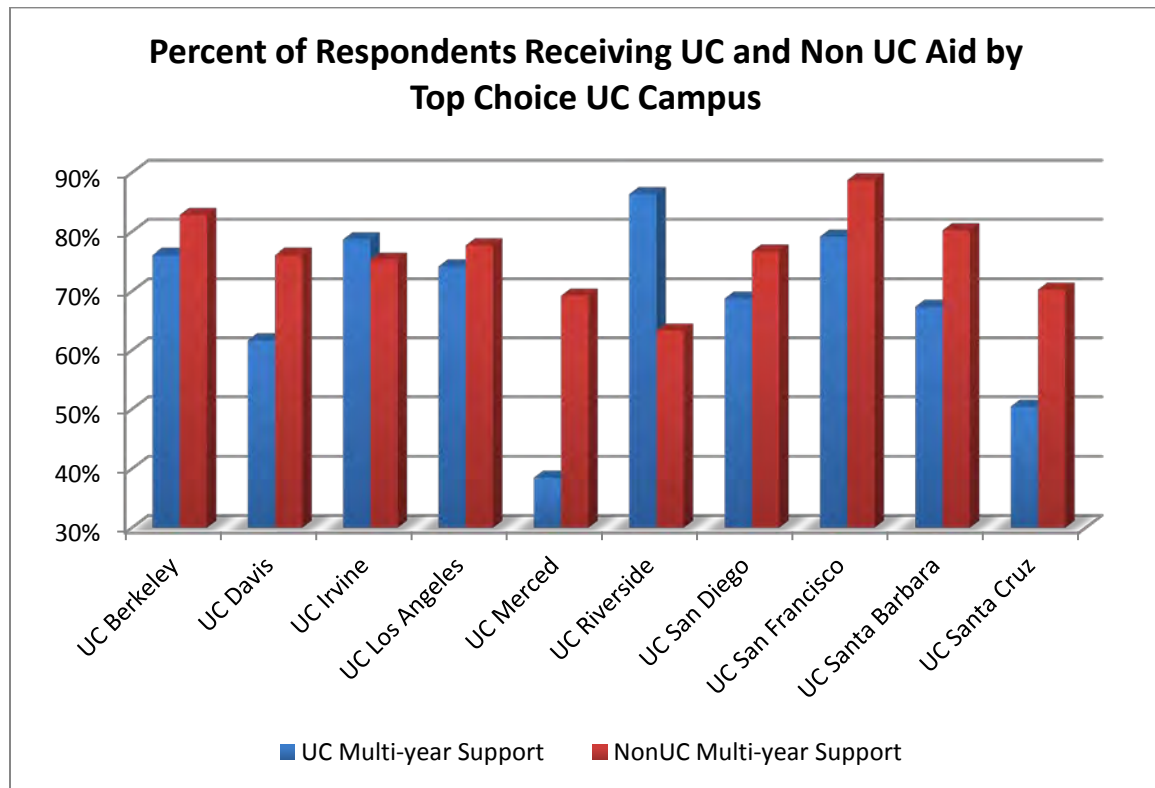
In order to remain nationally and internationally competitive for the best doctoral students, the UCs must be prepared to offer multi-year (preferably four or five year) funding guarantees to those students recruited to its Ph.D. programs. Participants at the *All-UC Doctoral Student Support Conference* agreed on the need for some kind of multi-year funding guarantee, which represents both a best practice (for some disciplines/departments) and a recommendation (for other disciplines/departments). While there are relatively few unfunded doctoral students systemwide, some departments are unable to fund all of their students (notwithstanding the fact that even these students may be able to secure funding by taking positions (e.g., as GSI's) elsewhere on campus). Therefore, some base level of multi-year funding should be provided that includes the following elements:

- 1) Funding should be as transparent as possible and should specify the contributions of fellowships, teaching assistantships, and/or research assistantships, as well as when each will apply.
- 2) Financial offer letter guidelines should be developed that ask campuses to include potential sources of support, durations, and conditions in their offer letters.
- 3) Programmatic data should be collected on the number of students currently funded by discipline and campus, as well as their level and duration of funding.

Support packages should be contingent upon a student's continued good standing and acceptable progress toward the degree, as well as upon the continued availability of funds. Currently, the University draws upon a number of sources to ensure that doctoral students are adequately funded over multiple years. These include institutional fellowships, research assistantships, teaching assistantships, and portable extramural fellowships. Historically, UC has trailed competitors in the percent of students offered institutional fellowships and research assistantships, and has offered a higher percentage of teaching assistantships than other institutions (see report on Net Stipends). In 2013, however, the percent of students offered UC institutional fellowships rose to 66% compared to 62% among UC's competitors. Fellowships remained the most common type of support offered by UC to first-year students, and were cited far more frequently than either teaching assistantships (28%) or research assistantships (24%). Overall, 91% of UC doctoral students received some kind of institutional support.

Respondents to the 2013 Graduate Student Support Survey reported that 72% of UC offers were multi-year offers compared to 78% of offers from UC's competitors. This suggests a potential competitive disadvantage for UC. What is more, this competitive disadvantage grew from only -3% to -6% between 2007 and 2013. The campuses are highly diverse in the relative percentage of multi-year institutional support that they offer as well. For instance, only 38% of doctoral students at UC Merced received multi-year institutional support, while 76% and 78% of the doctoral students enrolling at UC Berkeley and UC Los Angeles received such support. However, some of these students received non-UC multi-year support, as demonstrated in the following chart. With this in mind, funding options may need to be explored to address those campuses with

the lowest percentages of doctoral enrollments (e.g., Merced, Santa Cruz, Riverside, and maybe Irvine), in order to make them more competitive.



As one case study, the UC Riverside Graduate Division allocates money to its doctoral programs by tying funding directly to students, not in the form of block grants, but as a per student average. The Graduate Division examines the way offers are structured, and makes sure that each student can see where his or her support will come from. If a department or program only offers fellowship dollars without teaching assistantships or research assistantships, that file is returned to the program and the student will not be admitted until a multi-year offer is provided that includes both fellowship and program funding. After a particular cohort has progressed through their respective programs for four years, fellowship funds not originally allocated to students by the Graduate Division are released for other purposes, such as campus-wide merit-based dissertation fellowships. However, if a student encounters a funding gap midway through his or her program, the line of mitigation runs from the program first, then to the college, and finally to the Graduate Division, which carries forward some money per student cohort precisely for these exigencies (approximately 5% of its total fellowship allocation for the campus). This is similar to UC Berkeley's practice of holding back funds to prepare for contingencies. For those departments or programs that chronically run short on the funding of their students, the UC Riverside Graduate Division actively manages the admissions for these programs, working in concert with college or school deans to meet enrollment/recruitment goals. Finally, the UC Riverside principal investigator (PI) discount program also makes a student eligible for up to a year's tuition from the Graduate Division if a student is supported by a PI's grant for six quarters. The UCR Graduate Division only has enough money to do this for domestic students however.

## **Goals**

- 1) **Multi-year funding packages should draw upon a diverse combination of sources.** These include campus or Graduate Division fellowships, departmental fellowships, teaching assistantships, and graduate student research positions funded either by campus or PI funds.
- 2) **Provide multi-year support for all Ph.D. students as long as they are making adequate progress.**
- 3) **Provide 100% fellowship for all first year students.**

## **Recommendations**

- 1) **Resources.** Identify existing resources/services on all ten campuses to provide multi-year support drawn from a wide array of sources.
- 2) **Make multi-year funding a stated policy of each UC Graduate Division.**
- 3) **Make explicit the source of back-up funds so that departments do not become more conservative in making offers of admission.**

## **Transparent Offer Letters**

A number of doctoral students at the *All-UC Doctoral Student Support Conference* identified transparent offer letters as an important area. Even if academic departments cannot guarantee full multi-year funding for the entire length of their respective programs, these students emphasized the need for transparent offer letters in order to effectively plan their finances over a five to seven year doctoral program. Such letters do not guarantee support, but offer probable sources of support (e.g., stipend, teaching assistantship, and research assistantship) if students continue to make adequate progress within their doctoral programs. As such, the UC Graduate Division(s) and/or academic departments do not enter into ironclad agreements with students, but make good-faith agreements with them. The letters also may not specify whether the non-fellowship support will be in the form of a teaching assistantship or a graduate student research assistantship. It is unclear how many departments and/or Graduate Divisions provide offer letters that are suboptimal in their transparency, but the Council of Graduate Deans has put forward the goal of transparent offer letters as a valued best practice with the understanding that letters may differ by campus and discipline. Optimal letters will break out funding not only by year and anticipated source of support, but also which fees (e.g., health insurance and other miscellaneous fees) will be paid from these respective sources. Any out-of-pocket costs/fees to be paid by the student should also be identified in the letter. For international students, the amount of NRST paid by the award should be specified. In this way, students can adequately plan for their entire program, and not live year-to-year.



**Goal**

**Identify transparent offer letters as a best practice.** Letters will identify probable sources of support each year for the length of the program, and specify which fees will be paid by the respective source of support. Any out-of-pocket fees for students will be clearly noted.

**Recommendation**

**Task the Council of Graduate Deans with the implementation of transparent offer letters as a best practice.**

**UC Graduate Enrollments by Discipline**  
**Full Year Equivalent Enrollment**  
**UC System**

|                              | 2000-01       | 2001-02       | 2002-03       | 2003-04       | 2004-05       | 2005-06       | 2006-07       | 2007-08       | 2008-09       | 2009-10       | 2010-11       | 2011-12       | 2012-13       |
|------------------------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|
| <b>Academic Doctoral (n)</b> | <b>19,415</b> | <b>20,610</b> | <b>22,312</b> | <b>23,316</b> | <b>23,512</b> | <b>24,024</b> | <b>24,243</b> | <b>24,801</b> | <b>24,883</b> | <b>25,224</b> | <b>25,235</b> | <b>24,664</b> | <b>25,099</b> |
| Life Sciences                | 20%           | 20%           | 20%           | 20%           | 20%           | 21%           | 21%           | 20%           | 20%           | 19%           | 19%           | 18%           | 19%           |
| Physical Sciences            | 17%           | 17%           | 17%           | 17%           | 17%           | 17%           | 17%           | 17%           | 17%           | 18%           | 18%           | 18%           | 18%           |
| Engineering/CS               | 19%           | 20%           | 21%           | 22%           | 21%           | 21%           | 21%           | 21%           | 21%           | 22%           | 22%           | 22%           | 22%           |
| Health Sciences              | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 1%            | 2%            | 2%            | 2%            | 2%            |
| Social Sciences              | 15%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           |
| Humanities                   | 15%           | 15%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 14%           | 13%           | 13%           |
| Fine Arts                    | 3%            | 3%            | 3%            | 3%            | 3%            | 3%            | 3%            | 3%            | 3%            | 3%            | 3%            | 3%            | 3%            |
| Professional PhD             | 7%            | 7%            | 7%            | 7%            | 7%            | 7%            | 7%            | 7%            | 7%            | 7%            | 7%            | 7%            | 7%            |
| Other Academic               | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            | 2%            |
| <b>Academic Masters (n)</b>  | <b>3,565</b>  | <b>3,814</b>  | <b>4,144</b>  | <b>4,548</b>  | <b>4,413</b>  | <b>4,123</b>  | <b>3,901</b>  | <b>4,077</b>  | <b>4,083</b>  | <b>4,275</b>  | <b>4,499</b>  | <b>4,506</b>  | <b>4,577</b>  |
| Life Sciences                | 16%           | 16%           | 16%           | 16%           | 18%           | 19%           | 19%           | 17%           | 17%           | 17%           | 17%           | 17%           | 17%           |
| Physical Sciences            | 6%            | 6%            | 6%            | 6%            | 6%            | 6%            | 6%            | 6%            | 6%            | 6%            | 7%            | 7%            | 7%            |
| Engineering/CS               | 39%           | 41%           | 41%           | 42%           | 41%           | 40%           | 40%           | 45%           | 45%           | 45%           | 47%           | 50%           | 49%           |
| Health Sciences              | 2%            | 2%            | 1%            | 2%            | 2%            | 2%            | 3%            | 3%            | 2%            | 2%            | 2%            | 2%            | 2%            |
| Social Sciences              | 3%            | 3%            | 4%            | 3%            | 3%            | 4%            | 3%            | 3%            | 3%            | 3%            | 3%            | 2%            | 2%            |
| Humanities                   | 11%           | 10%           | 11%           | 11%           | 10%           | 10%           | 11%           | 10%           | 9%            | 9%            | 8%            | 7%            | 7%            |
| Fine Arts                    | 14%           | 13%           | 12%           | 11%           | 11%           | 13%           | 14%           | 14%           | 14%           | 13%           | 13%           | 11%           | 11%           |
| Professional PhD             | 5%            | 4%            | 4%            | 4%            | 4%            | 4%            | 1%            | 1%            | 1%            | 1%            | 1%            | 1%            | 2%            |
| Other Academic               | 4%            | 4%            | 5%            | 5%            | 5%            | 4%            | 3%            | 2%            | 2%            | 3%            | 3%            | 2%            | 3%            |
| <b>Prof Fee Paying</b>       | <b>10,635</b> | <b>10,840</b> | <b>11,031</b> | <b>11,319</b> | <b>11,126</b> | <b>11,236</b> | <b>11,614</b> | <b>11,888</b> | <b>12,073</b> | <b>12,395</b> | <b>12,500</b> | <b>12,777</b> | <b>12,699</b> |
| <b>Other Professional</b>    | <b>1,465</b>  | <b>1,613</b>  | <b>1,803</b>  | <b>1,908</b>  | <b>1,833</b>  | <b>1,772</b>  | <b>2,076</b>  | <b>2,040</b>  | <b>1,968</b>  | <b>1,927</b>  | <b>1,822</b>  | <b>2,246</b>  | <b>1,504</b>  |
| <b>Self Supporting</b>       | <b>1,833</b>  | <b>1,985</b>  | <b>2,247</b>  | <b>2,548</b>  | <b>2,935</b>  | <b>3,222</b>  | <b>3,468</b>  | <b>3,782</b>  | <b>4,023</b>  | <b>4,277</b>  | <b>4,387</b>  | <b>4,410</b>  | <b>4,663</b>  |
| <b>Unknown</b>               | <b>213</b>    | <b>226</b>    | <b>244</b>    | <b>221</b>    | <b>212</b>    | <b>22</b>     | <b>1</b>      | <b>0</b>      | <b>2</b>      | <b>1</b>      | <b>1</b>      | <b>0</b>      | <b>17</b>     |
| <b>Total</b>                 | <b>37,126</b> | <b>39,087</b> | <b>41,781</b> | <b>43,860</b> | <b>44,031</b> | <b>44,398</b> | <b>45,301</b> | <b>46,588</b> | <b>47,032</b> | <b>48,098</b> | <b>48,443</b> | <b>48,601</b> | <b>48,559</b> |

**UC Graduate Enrollments by Discipline**  
**Full Year Equivalent Enrollment**  
**By Campus, 2013-14**

|                              | Berkeley      | Davis        | Irvine       | Los Angeles   | Merced     | Riverside    | San Diego    | San Francisco | Santa Barbara | Santa Cruz   | UC            |
|------------------------------|---------------|--------------|--------------|---------------|------------|--------------|--------------|---------------|---------------|--------------|---------------|
| <b>Academic Doctoral (n)</b> | <b>5,450</b>  | <b>3,160</b> | <b>2,442</b> | <b>4,521</b>  | <b>308</b> | <b>1,771</b> | <b>3,090</b> | <b>771</b>    | <b>2,219</b>  | <b>1,204</b> | <b>24,936</b> |
| Life Sciences                | 16%           | 31%          | 13%          | 15%           | 23%        | 21%          | 18%          | 55%           | 7%            | 18%          | 19%           |
| Physical Sciences            | 18%           | 17%          | 21%          | 15%           | 6%         | 21%          | 21%          | 0%            | 23%           | 24%          | 18%           |
| Engineering/CS               | 26%           | 20%          | 27%          | 19%           | 22%        | 21%          | 29%          | 14%           | 18%           | 17%          | 22%           |
| Health Sciences              | 1%            | 0%           | 0%           | 3%            | 0%         | 0%           | 0%           | 25%           | 0%            | 0%           | 2%            |
| Social Sciences              | 14%           | 15%          | 20%          | 20%           | 19%        | 19%          | 16%          | 5%            | 22%           | 18%          | 17%           |
| Humanities                   | 12%           | 8%           | 8%           | 10%           | 0%         | 10%          | 5%           | 0%            | 12%           | 7%           | 9%            |
| Fine Arts                    | 2%            | 1%           | 2%           | 4%            | 0%         | 3%           | 4%           | 0%            | 6%            | 5%           | 3%            |
| Professional PhD             | 9%            | 2%           | 3%           | 9%            | 0%         | 5%           | 4%           | 0%            | 8%            | 2%           | 6%            |
| Other Academic               | 3%            | 6%           | 6%           | 4%            | 31%        | 0%           | 3%           | 2%            | 4%            | 9%           | 4%            |
| <b>Academic Masters (n)</b>  | <b>295</b>    | <b>827</b>   | <b>742</b>   | <b>955</b>    | <b>41</b>  | <b>234</b>   | <b>868</b>   | <b>121</b>    | <b>442</b>    | <b>173</b>   | <b>4,698</b>  |
| Life Sciences                | 6%            | 32%          | 4%           | 5%            | 51%        | 8%           | 13%          | 27%           | 38%           | 9%           | 16%           |
| Physical Sciences            | 4%            | 10%          | 4%           | 4%            | 0%         | 19%          | 11%          | 0%            | 10%           | 11%          | 8%            |
| Engineering/CS               | 66%           | 37%          | 64%          | 62%           | 27%        | 40%          | 58%          | 0%            | 28%           | 37%          | 50%           |
| Health Sciences              | 3%            | 0%           | 0%           | 6%            | 0%         | 0%           | 0%           | 10%           | 0%            | 0%           | 2%            |
| Social Sciences              | 1%            | 1%           | 2%           | 2%            | 22%        | 2%           | 0%           | 0%            | 7%            | 12%          | 2%            |
| Humanities                   | 10%           | 5%           | 4%           | 9%            | 0%         | 16%          | 2%           | 0%            | 3%            | 8%           | 6%            |
| Fine Arts                    | 4%            | 6%           | 16%          | 7%            | 0%         | 12%          | 13%          | 0%            | 5%            | 20%          | 10%           |
| Professional PhD             | 0%            | 4%           | 1%           | 0%            | 0%         | 0%           | 0%           | 0%            | 0%            | 0%           | 1%            |
| Other Academic               | 6%            | 5%           | 5%           | 5%            | 0%         | 3%           | 4%           | 64%           | 9%            | 2%           | 6%            |
| <b>Prof Fee Paying</b>       | <b>2,853</b>  | <b>1,585</b> | <b>941</b>   | <b>4,149</b>  | <b>0</b>   | <b>252</b>   | <b>1,045</b> | <b>1,793</b>  | <b>0</b>      | <b>0</b>     | <b>12,618</b> |
| <b>Other Professional</b>    | <b>290</b>    | <b>254</b>   | <b>264</b>   | <b>572</b>    | <b>0</b>   | <b>103</b>   | <b>97</b>    | <b>18</b>     | <b>103</b>    | <b>72</b>    | <b>1,774</b>  |
| <b>Self Supporting</b>       | <b>1,181</b>  | <b>580</b>   | <b>710</b>   | <b>1,589</b>  | <b>0</b>   | <b>199</b>   | <b>393</b>   | <b>295</b>    | <b>0</b>      | <b>0</b>     | <b>4,947</b>  |
| <b>Unknown</b>               | <b>5</b>      | <b>0</b>     | <b>0</b>     | <b>0</b>      | <b>0</b>   | <b>0</b>     | <b>0</b>     | <b>11</b>     | <b>0</b>      | <b>9</b>     | <b>25</b>     |
| <b>Total</b>                 | <b>10,072</b> | <b>6,406</b> | <b>5,099</b> | <b>11,787</b> | <b>349</b> | <b>2,559</b> | <b>5,493</b> | <b>3,010</b>  | <b>2,764</b>  | <b>1,457</b> | <b>48,996</b> |

**UC Academic Doctoral Students by Discipline and Gender  
2013-14 Full Year Equivalent Enrollment**

| Field of Study               | Berkeley | Davis | Irvine | Los Angeles | Merced | Riverside | San Diego | San Francisco | Santa Barbara | Santa Cruz | UC     |
|------------------------------|----------|-------|--------|-------------|--------|-----------|-----------|---------------|---------------|------------|--------|
| <b>Life Sciences (n)</b>     | 847      | 987   | 328    | 682         | 70     | 369       | 545       | 422           | 156           | 219        | 4,624  |
| Female                       | 53%      | 55%   | 50%    | 52%         | 47%    | 50%       | 49%       | 55%           | 53%           | 57%        | 53%    |
| Male                         | 47%      | 45%   | 50%    | 48%         | 53%    | 50%       | 51%       | 45%           | 47%           | 43%        | 47%    |
| <b>Physical Sciences (n)</b> | 982      | 544   | 504    | 675         | 19     | 380       | 648       |               | 513           | 292        | 4,557  |
| Female                       | 29%      | 32%   | 28%    | 25%         | 38%    | 27%       | 30%       | 0%            | 24%           | 40%        | 29%    |
| Male                         | 71%      | 68%   | 72%    | 75%         | 62%    | 73%       | 70%       | 0%            | 76%           | 60%        | 71%    |
| <b>Engineering/CS (n)</b>    | 1,400    | 625   | 664    | 861         | 67     | 364       | 900       | 105           | 405           | 210        | 5,600  |
| Female                       | 26%      | 25%   | 25%    | 20%         | 19%    | 27%       | 19%       | 36%           | 19%           | 24%        | 23%    |
| Male                         | 74%      | 75%   | 75%    | 80%         | 81%    | 73%       | 81%       | 64%           | 81%           | 76%        | 77%    |
| <b>Health Sciences (n)</b>   | 42       |       |        | 151         |        |           | 3         | 190           |               |            | 386    |
| Female                       | 70%      | 0%    | 0%     | 81%         | 0%     | 0%        | 100%      | 64%           | 0%            | 0%         | 72%    |
| Male                         | 30%      | 0%    | 0%     | 19%         | 0%     | 0%        | 0%        | 36%           | 0%            | 0%         | 28%    |
| <b>Social Sciences (n)</b>   | 757      | 460   | 488    | 897         | 57     | 331       | 504       | 40            | 485           | 217        | 4,236  |
| Female                       | 48%      | 48%   | 48%    | 53%         | 61%    | 49%       | 46%       | 70%           | 53%           | 55%        | 50%    |
| Male                         | 52%      | 52%   | 52%    | 47%         | 39%    | 51%       | 54%       | 30%           | 47%           | 45%        | 50%    |
| <b>Humanities (n)</b>        | 670      | 251   | 196    | 456         |        | 183       | 166       |               | 259           | 79         | 2,261  |
| Female                       | 55%      | 58%   | 47%    | 59%         | 0%     | 51%       | 56%       | 0%            | 54%           | 64%        | 55%    |
| Male                         | 45%      | 42%   | 53%    | 41%         | 0%     | 49%       | 44%       | 0%            | 46%           | 36%        | 45%    |
| <b>Fine Arts (n)</b>         | 118      | 43    | 41     | 199         |        | 49        | 116       |               | 130           | 56         | 752    |
| Female                       | 65%      | 46%   | 68%    | 56%         | 0%     | 71%       | 48%       | 0%            | 61%           | 58%        | 58%    |
| Male                         | 35%      | 54%   | 32%    | 44%         | 0%     | 29%       | 52%       | 0%            | 39%           | 42%        | 42%    |
| <b>Professional PhD (n)</b>  | 490      | 53    | 80     | 418         |        | 94        | 124       |               | 179           | 26         | 1,464  |
| Female                       | 66%      | 81%   | 56%    | 63%         | 0%     | 64%       | 68%       | 0%            | 71%           | 77%        | 66%    |
| Male                         | 34%      | 19%   | 44%    | 37%         | 0%     | 36%       | 32%       | 0%            | 29%           | 23%        | 34%    |
| <b>Other Academic (n)</b>    | 146      | 197   | 141    | 182         | 96     |           | 83        | 14            | 93            | 104        | 1,057  |
| Female                       | 47%      | 68%   | 60%    | 67%         | 43%    | 0%        | 26%       | 81%           | 60%           | 34%        | 54%    |
| Male                         | 53%      | 32%   | 40%    | 33%         | 57%    | 0%        | 74%       | 19%           | 40%           | 66%        | 46%    |
| <b>Total (n)</b>             | 5,450    | 3,160 | 2,442  | 4,521       | 308    | 1,771     | 3,090     | 771           | 2,219         | 1,204      | 24,936 |
| Female                       | 43%      | 46%   | 39%    | 46%         | 42%    | 41%       | 36%       | 56%           | 42%           | 46%        | 43%    |
| Male                         | 57%      | 54%   | 61%    | 54%         | 58%    | 59%       | 64%       | 44%           | 58%           | 54%        | 57%    |

**UC Academic Doctoral Students by Discipline and Gender**  
**2013-14 Full Year Equivalent Enrollment**

| Field of Study               | Berkeley | Davis | Irvine | Los Angeles | Merced | Riverside | San Diego | San Francisco | Santa Barbara | Santa Cruz | UC     |
|------------------------------|----------|-------|--------|-------------|--------|-----------|-----------|---------------|---------------|------------|--------|
| <b>Life Sciences (n)</b>     | 847      | 987   | 328    | 682         | 70     | 369       | 545       | 422           | 156           | 219        | 4,624  |
| URM                          | 11%      | 10%   | 19%    | 11%         | 18%    | 14%       | 13%       | 18%           | 9%            | 12%        | 13%    |
| African Americ:              | 3%       | 2%    | 3%     | 3%          | 3%     | 3%        | 3%        | 3%            | 1%            | 3%         | 3%     |
| American India               | 1%       | 1%    | 1%     | 0%          | 1%     | 1%        | 1%        | 2%            | 1%            | 1%         | 1%     |
| Hispanic/Latinc              | 7%       | 7%    | 16%    | 8%          | 14%    | 10%       | 9%        | 12%           | 6%            | 9%         | 9%     |
| Non-URM                      | 63%      | 63%   | 68%    | 64%         | 58%    | 60%       | 67%       | 66%           | 65%           | 71%        | 64%    |
| International                | 13%      | 20%   | 8%     | 18%         | 19%    | 21%       | 14%       | 7%            | 10%           | 8%         | 15%    |
| Unknown                      | 13%      | 6%    | 5%     | 7%          | 5%     | 5%        | 5%        | 9%            | 16%           | 8%         | 8%     |
| <b>Physical Sciences (n)</b> | 982      | 544   | 504    | 675         | 19     | 380       | 648       |               | 513           | 292        | 4,557  |
| URM                          | 8%       | 9%    | 7%     | 7%          | 11%    | 12%       | 8%        | 0%            | 5%            | 13%        | 8%     |
| African Americ:              | 2%       | 2%    | 1%     | 1%          | 0%     | 1%        | 2%        | 0%            | 1%            | 1%         | 2%     |
| American India               | 1%       | 1%    | 1%     | 0%          | 5%     | 1%        | 1%        | 0%            | 1%            | 2%         | 1%     |
| Hispanic/Latinc              | 6%       | 6%    | 4%     | 5%          | 5%     | 10%       | 6%        | 0%            | 4%            | 10%        | 6%     |
| Non-URM                      | 58%      | 58%   | 65%    | 63%         | 51%    | 46%       | 64%       | 0%            | 72%           | 66%        | 62%    |
| International                | 22%      | 27%   | 21%    | 27%         | 32%    | 37%       | 20%       | 0%            | 16%           | 15%        | 23%    |
| Unknown                      | 12%      | 7%    | 6%     | 3%          | 5%     | 5%        | 7%        | 0%            | 7%            | 6%         | 7%     |
| <b>Engineering/CS (n)</b>    | 1,400    | 625   | 664    | 861         | 67     | 364       | 900       | 105           | 405           | 210        | 5,600  |
| URM                          | 6%       | 6%    | 6%     | 5%          | 4%     | 10%       | 5%        | 6%            | 3%            | 9%         | 6%     |
| African Americ:              | 2%       | 1%    | 1%     | 1%          | 1%     | 3%        | 1%        | 2%            | 0%            | 1%         | 1%     |
| American India               | 0%       | 1%    | 1%     | 0%          | 0%     | 1%        | 0%        | 0%            | 0%            | 0%         | 0%     |
| Hispanic/Latinc              | 4%       | 3%    | 4%     | 4%          | 3%     | 6%        | 4%        | 5%            | 3%            | 8%         | 4%     |
| Non-URM                      | 47%      | 44%   | 37%    | 37%         | 21%    | 35%       | 35%       | 64%           | 43%           | 56%        | 41%    |
| International                | 38%      | 43%   | 51%    | 55%         | 73%    | 51%       | 58%       | 13%           | 49%           | 32%        | 47%    |
| Unknown                      | 10%      | 8%    | 6%     | 3%          | 1%     | 3%        | 3%        | 17%           | 5%            | 3%         | 6%     |
| <b>Health Sciences (n)</b>   | 42       |       |        | 151         |        |           | 3         | 190           |               |            | 386    |
| URM                          | 15%      | 0%    | 0%     | 26%         | 0%     | 0%        | 0%        | 17%           | 0%            | 0%         | 20%    |
| African Americ:              | 6%       | 0%    | 0%     | 13%         | 0%     | 0%        | 0%        | 11%           | 0%            | 0%         | 11%    |
| American India               | 0%       | 0%    | 0%     | 0%          | 0%     | 0%        | 0%        | 1%            | 0%            | 0%         | 1%     |
| Hispanic/Latinc              | 10%      | 0%    | 0%     | 13%         | 0%     | 0%        | 0%        | 6%            | 0%            | 0%         | 9%     |
| Non-URM                      | 45%      | 0%    | 0%     | 56%         | 0%     | 0%        | 50%       | 67%           | 0%            | 0%         | 60%    |
| International                | 10%      | 0%    | 0%     | 11%         | 0%     | 0%        | 0%        | 5%            | 0%            | 0%         | 8%     |
| Unknown                      | 30%      | 0%    | 0%     | 7%          | 0%     | 0%        | 50%       | 11%           | 0%            | 0%         | 12%    |
| <b>Social Sciences (n)</b>   | 757      | 460   | 488    | 897         | 57     | 331       | 504       | 40            | 485           | 217        | 4,236  |
| URM                          | 16%      | 10%   | 16%    | 12%         | 24%    | 19%       | 11%       | 24%           | 16%           | 22%        | 15%    |
| African Americ:              | 5%       | 3%    | 4%     | 4%          | 7%     | 4%        | 2%        | 13%           | 3%            | 7%         | 4%     |
| American India               | 1%       | 1%    | 1%     | 0%          | 2%     | 2%        | 2%        | 0%            | 0%            | 2%         | 1%     |
| Hispanic/Latinc              | 9%       | 6%    | 11%    | 7%          | 15%    | 13%       | 7%        | 12%           | 13%           | 13%        | 9%     |
| Non-URM                      | 52%      | 62%   | 66%    | 63%         | 57%    | 58%       | 67%       | 58%           | 59%           | 58%        | 60%    |
| International                | 17%      | 18%   | 9%     | 19%         | 18%    | 13%       | 16%       | 3%            | 11%           | 11%        | 15%    |
| Unknown                      | 15%      | 10%   | 9%     | 6%          | 2%     | 9%        | 7%        | 15%           | 13%           | 9%         | 10%    |
| <b>Humanities (n)</b>        | 670      | 251   | 196    | 456         |        | 183       | 166       |               | 259           | 79         | 2,261  |
| URM                          | 21%      | 15%   | 22%    | 15%         | 0%     | 24%       | 26%       | 0%            | 17%           | 18%        | 19%    |
| African Americ:              | 6%       | 2%    | 3%     | 3%          | 0%     | 5%        | 6%        | 0%            | 1%            | 1%         | 4%     |
| American India               | 2%       | 3%    | 1%     | 0%          | 0%     | 2%        | 1%        | 0%            | 2%            | 0%         | 2%     |
| Hispanic/Latinc              | 13%      | 10%   | 19%    | 11%         | 0%     | 17%       | 19%       | 0%            | 13%           | 17%        | 14%    |
| Non-URM                      | 53%      | 58%   | 63%    | 67%         | 0%     | 59%       | 55%       | 0%            | 56%           | 67%        | 59%    |
| International                | 10%      | 14%   | 5%     | 12%         | 0%     | 6%        | 11%       | 0%            | 11%           | 3%         | 10%    |
| Unknown                      | 15%      | 12%   | 10%    | 6%          | 0%     | 11%       | 8%        | 0%            | 16%           | 13%        | 12%    |
| <b>Fine Arts (n)</b>         | 118      | 43    | 41     | 199         |        | 49        | 116       |               | 130           | 56         | 752    |
| URM                          | 8%       | 12%   | 19%    | 12%         | 0%     | 12%       | 10%       | 0%            | 9%            | 16%        | 11%    |
| African Americ:              | 3%       | 4%    | 5%     | 5%          | 0%     | 1%        | 4%        | 0%            | 2%            | 4%         | 4%     |
| American India               | 0%       | 0%    | 2%     | 1%          | 0%     | 0%        | 0%        | 0%            | 0%            | 4%         | 1%     |
| Hispanic/Latinc              | 5%       | 8%    | 12%    | 7%          | 0%     | 10%       | 6%        | 0%            | 7%            | 9%         | 7%     |
| Non-URM                      | 68%      | 65%   | 66%    | 66%         | 0%     | 59%       | 67%       | 0%            | 64%           | 68%        | 66%    |
| International                | 9%       | 19%   | 5%     | 15%         | 0%     | 12%       | 19%       | 0%            | 8%            | 13%        | 13%    |
| Unknown                      | 16%      | 5%    | 10%    | 7%          | 0%     | 18%       | 4%        | 0%            | 18%           | 4%         | 10%    |
| <b>Professional PhD (n)</b>  | 490      | 53    | 80     | 418         |        | 94        | 124       |               | 179           | 26         | 1,464  |
| URM                          | 18%      | 14%   | 11%    | 29%         | 0%     | 20%       | 23%       | 0%            | 19%           | 27%        | 22%    |
| African Americ:              | 7%       | 1%    | 1%     | 10%         | 0%     | 7%        | 8%        | 0%            | 4%            | 4%         | 7%     |
| American India               | 1%       | 2%    | 4%     | 0%          | 0%     | 0%        | 2%        | 0%            | 1%            | 0%         | 1%     |
| Hispanic/Latinc              | 10%      | 12%   | 6%     | 19%         | 0%     | 13%       | 12%       | 0%            | 14%           | 23%        | 14%    |
| Non-URM                      | 49%      | 68%   | 40%    | 49%         | 0%     | 55%       | 58%       | 0%            | 61%           | 70%        | 52%    |
| International                | 21%      | 16%   | 43%    | 17%         | 0%     | 10%       | 13%       | 0%            | 10%           | 0%         | 18%    |
| Unknown                      | 12%      | 2%    | 6%     | 4%          | 0%     | 16%       | 6%        | 0%            | 10%           | 4%         | 8%     |
| <b>Other Academic (n)</b>    | 146      | 197   | 141    | 182         | 96     |           | 83        | 14            | 93            | 104        | 1,057  |
| URM                          | 12%      | 19%   | 9%     | 13%         | 18%    | 0%        | 8%        | 7%            | 14%           | 11%        | 13%    |
| African Americ:              | 3%       | 5%    | 0%     | 6%          | 1%     | 0%        | 1%        | 0%            | 1%            | 5%         | 3%     |
| American India               | 3%       | 3%    | 0%     | 1%          | 1%     | 0%        | 1%        | 0%            | 1%            | 0%         | 1%     |
| Hispanic/Latinc              | 5%       | 12%   | 9%     | 6%          | 16%    | 0%        | 6%        | 7%            | 12%           | 6%         | 9%     |
| Non-URM                      | 50%      | 60%   | 60%    | 54%         | 60%    | 0%        | 60%       | 91%           | 60%           | 52%        | 57%    |
| International                | 22%      | 10%   | 24%    | 28%         | 18%    | 0%        | 27%       | 0%            | 16%           | 27%        | 21%    |
| Unknown                      | 16%      | 10%   | 7%     | 5%          | 4%     | 0%        | 5%        | 2%            | 10%           | 9%         | 8%     |
| <b>Total (n)</b>             | 5,450    | 3,160 | 2,442  | 4,521       | 308    | 1,771     | 3,090     | 771           | 2,219         | 1,204      | 24,936 |
| URM                          | 12%      | 10%   | 12%    | 12%         | 16%    | 15%       | 10%       | 16%           | 11%           | 14%        | 12%    |
| African Americ:              | 4%       | 2%    | 2%     | 4%          | 3%     | 3%        | 2%        | 5%            | 2%            | 3%         | 3%     |
| American India               | 1%       | 1%    | 1%     | 0%          | 1%     | 1%        | 1%        | 1%            | 1%            | 1%         | 1%     |
| Hispanic/Latinc              | 7%       | 7%    | 9%     | 8%          | 12%    | 11%       | 7%        | 10%           | 8%            | 10%        | 8%     |
| Non-URM                      | 54%      | 58%   | 57%    | 57%         | 50%    | 51%       | 56%       | 66%           | 60%           | 63%        | 56%    |
| International                | 22%      | 24%   | 24%    | 26%         | 31%    | 27%       | 29%       | 7%            | 19%           | 16%        | 24%    |
| Unknown                      | 13%      | 8%    | 7%     | 5%          | 3%     | 7%        | 5%        | 11%           | 11%           | 7%         | 8%     |

**UC Academic Doctoral Students by Discipline and CA Residency**  
**Full Year Equivalent Enrollment**  
**All Students**

| Field of Study               | 2000-01 | 2001-02 | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 2012-13 |
|------------------------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| <b>Life Sciences (n)</b>     | 3,970   | 4,156   | 4,422   | 4,665   | 4,765   | 4,965   | 4,981   | 4,983   | 4,901   | 4,841   | 4,819   | 4,542   | 4,818   |
| CA Resident                  | 76%     | 74%     | 73%     | 74%     | 75%     | 76%     | 77%     | 77%     | 79%     | 78%     | 79%     | 78%     | 78%     |
| Nonresident Domestic         | 7%      | 8%      | 8%      | 7%      | 7%      | 7%      | 7%      | 7%      | 6%      | 7%      | 7%      | 6%      | 8%      |
| International                | 17%     | 19%     | 19%     | 19%     | 18%     | 17%     | 16%     | 15%     | 15%     | 16%     | 15%     | 16%     | 15%     |
| <b>Physical Sciences (n)</b> | 3,228   | 3,426   | 3,748   | 3,917   | 3,987   | 4,148   | 4,224   | 4,320   | 4,344   | 4,497   | 4,523   | 4,499   | 4,578   |
| CA Resident                  | 66%     | 64%     | 63%     | 66%     | 68%     | 69%     | 70%     | 70%     | 70%     | 68%     | 70%     | 68%     | 67%     |
| Nonresident Domestic         | 10%     | 11%     | 12%     | 10%     | 9%      | 10%     | 9%      | 9%      | 8%      | 10%     | 8%      | 10%     | 10%     |
| International                | 24%     | 25%     | 25%     | 24%     | 23%     | 21%     | 21%     | 21%     | 22%     | 22%     | 23%     | 22%     | 22%     |
| <b>Engineering/CS (n)</b>    | 3,650   | 4,069   | 4,757   | 5,107   | 5,009   | 5,082   | 5,037   | 5,231   | 5,320   | 5,435   | 5,560   | 5,476   | 5,632   |
| CA Resident                  | 46%     | 43%     | 43%     | 45%     | 47%     | 48%     | 50%     | 49%     | 51%     | 50%     | 50%     | 49%     | 48%     |
| Nonresident Domestic         | 8%      | 7%      | 7%      | 6%      | 5%      | 6%      | 6%      | 7%      | 5%      | 5%      | 5%      | 6%      | 6%      |
| International                | 47%     | 50%     | 50%     | 49%     | 48%     | 46%     | 45%     | 44%     | 44%     | 45%     | 44%     | 45%     | 45%     |
| <b>Health Sciences (n)</b>   | 409     | 446     | 475     | 460     | 482     | 457     | 414     | 389     | 367     | 410     | 415     | 446     | 471     |
| CA Resident                  | 77%     | 77%     | 77%     | 80%     | 87%     | 86%     | 85%     | 85%     | 85%     | 85%     | 86%     | 88%     | 88%     |
| Nonresident Domestic         | 4%      | 6%      | 6%      | 6%      | 4%      | 5%      | 5%      | 5%      | 3%      | 5%      | 4%      | 3%      | 4%      |
| International                | 19%     | 17%     | 16%     | 13%     | 9%      | 9%      | 10%     | 10%     | 12%     | 10%     | 9%      | 9%      | 8%      |
| <b>Social Sciences (n)</b>   | 2,840   | 2,965   | 3,098   | 3,185   | 3,272   | 3,351   | 3,412   | 3,532   | 3,580   | 3,587   | 3,535   | 3,529   | 3,496   |
| CA Resident                  | 75%     | 73%     | 71%     | 72%     | 73%     | 74%     | 75%     | 75%     | 76%     | 77%     | 77%     | 76%     | 77%     |
| Nonresident Domestic         | 7%      | 7%      | 8%      | 9%      | 8%      | 8%      | 8%      | 9%      | 8%      | 7%      | 8%      | 8%      | 8%      |
| International                | 18%     | 20%     | 20%     | 19%     | 19%     | 18%     | 17%     | 17%     | 16%     | 16%     | 15%     | 15%     | 15%     |
| <b>Humanities (n)</b>        | 2,968   | 3,067   | 3,216   | 3,288   | 3,318   | 3,307   | 3,338   | 3,419   | 3,465   | 3,461   | 3,422   | 3,311   | 3,216   |
| CA Resident                  | 80%     | 80%     | 81%     | 81%     | 82%     | 82%     | 81%     | 82%     | 82%     | 83%     | 83%     | 83%     | 83%     |
| Nonresident Domestic         | 8%      | 8%      | 8%      | 8%      | 7%      | 8%      | 9%      | 8%      | 7%      | 7%      | 7%      | 7%      | 7%      |
| International                | 11%     | 12%     | 12%     | 11%     | 11%     | 10%     | 10%     | 10%     | 10%     | 10%     | 10%     | 10%     | 11%     |
| <b>Fine Arts (n)</b>         | 594     | 614     | 668     | 674     | 631     | 617     | 654     | 674     | 717     | 725     | 714     | 736     | 774     |
| CA Resident                  | 78%     | 77%     | 77%     | 79%     | 80%     | 78%     | 79%     | 79%     | 79%     | 80%     | 80%     | 79%     | 80%     |
| Nonresident Domestic         | 7%      | 9%      | 10%     | 6%      | 7%      | 9%      | 7%      | 9%      | 8%      | 7%      | 7%      | 9%      | 8%      |
| International                | 15%     | 15%     | 14%     | 15%     | 13%     | 13%     | 14%     | 12%     | 13%     | 12%     | 13%     | 13%     | 12%     |
| <b>Professional PhD (n)</b>  | 1,396   | 1,469   | 1,511   | 1,582   | 1,574   | 1,631   | 1,684   | 1,748   | 1,732   | 1,784   | 1,755   | 1,654   | 1,658   |
| CA Resident                  | 80%     | 78%     | 78%     | 78%     | 82%     | 83%     | 84%     | 83%     | 83%     | 83%     | 83%     | 80%     | 78%     |
| Nonresident Domestic         | 4%      | 4%      | 4%      | 5%      | 3%      | 3%      | 4%      | 4%      | 4%      | 3%      | 3%      | 4%      | 5%      |
| International                | 16%     | 18%     | 17%     | 16%     | 15%     | 14%     | 13%     | 13%     | 13%     | 13%     | 14%     | 16%     | 17%     |
| <b>Other Academic (n)</b>    | 362     | 398     | 418     | 439     | 476     | 467     | 499     | 505     | 458     | 485     | 492     | 469     | 456     |
| CA Resident                  | 74%     | 73%     | 73%     | 74%     | 75%     | 73%     | 77%     | 72%     | 78%     | 75%     | 75%     | 74%     | 77%     |
| Nonresident Domestic         | 5%      | 5%      | 5%      | 4%      | 4%      | 7%      | 4%      | 8%      | 3%      | 4%      | 3%      | 5%      | 4%      |
| International                | 21%     | 22%     | 22%     | 22%     | 21%     | 21%     | 19%     | 20%     | 19%     | 21%     | 22%     | 21%     | 19%     |
| <b>Total (n)</b>             | 19,415  | 20,610  | 22,312  | 23,316  | 23,512  | 24,024  | 24,243  | 24,801  | 24,883  | 25,224  | 25,235  | 24,664  | 25,099  |
| CA Resident                  | 69%     | 67%     | 66%     | 67%     | 69%     | 70%     | 71%     | 71%     | 72%     | 71%     | 72%     | 70%     | 70%     |
| Nonresident Domestic         | 8%      | 8%      | 8%      | 7%      | 7%      | 7%      | 7%      | 8%      | 6%      | 7%      | 6%      | 7%      | 7%      |
| International                | 23%     | 25%     | 26%     | 25%     | 24%     | 23%     | 22%     | 22%     | 22%     | 22%     | 22%     | 23%     | 23%     |

**UC Academic Doctoral Students by Discipline and CA Residency**  
**Full Year Equivalent Enrollment**  
**New Students**

| Field of Study               | 2000-01 | 2001-02 | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 2012-13 |
|------------------------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| <b>Life Sciences (n)</b>     | 815     | 875     | 965     | 928     | 848     | 900     | 874     | 922     | 843     | 877     | 846     | 832     | 916     |
| CA Resident                  | 45%     | 42%     | 44%     | 48%     | 50%     | 50%     | 47%     | 43%     | 50%     | 48%     | 52%     | 53%     | 49%     |
| Nonresident Domestic         | 30%     | 34%     | 36%     | 32%     | 35%     | 36%     | 39%     | 38%     | 31%     | 34%     | 35%     | 32%     | 38%     |
| International                | 25%     | 24%     | 20%     | 20%     | 15%     | 14%     | 14%     | 19%     | 19%     | 18%     | 13%     | 15%     | 13%     |
| <b>Physical Sciences (n)</b> | 768     | 856     | 931     | 840     | 800     | 911     | 893     | 922     | 844     | 933     | 835     | 882     | 995     |
| CA Resident                  | 34%     | 31%     | 33%     | 36%     | 40%     | 37%     | 37%     | 35%     | 38%     | 32%     | 37%     | 32%     | 31%     |
| Nonresident Domestic         | 37%     | 39%     | 43%     | 44%     | 42%     | 44%     | 42%     | 40%     | 38%     | 47%     | 39%     | 46%     | 45%     |
| International                | 29%     | 29%     | 24%     | 21%     | 18%     | 20%     | 21%     | 26%     | 24%     | 21%     | 24%     | 21%     | 24%     |
| <b>Engineering/CS (n)</b>    | 962     | 1,065   | 1,305   | 1,151   | 941     | 973     | 993     | 1,227   | 1,050   | 1,029   | 1,118   | 1,018   | 1,090   |
| CA Resident                  | 23%     | 20%     | 30%     | 34%     | 33%     | 29%     | 28%     | 25%     | 26%     | 26%     | 32%     | 25%     | 27%     |
| Nonresident Domestic         | 22%     | 21%     | 21%     | 23%     | 23%     | 25%     | 23%     | 25%     | 22%     | 23%     | 23%     | 25%     | 25%     |
| International                | 55%     | 58%     | 49%     | 43%     | 44%     | 46%     | 49%     | 50%     | 52%     | 52%     | 46%     | 50%     | 47%     |
| <b>Health Sciences (n)</b>   | 66      | 100     | 107     | 71      | 84      | 76      | 65      | 74      | 52      | 61      | 62      | 75      | 71      |
| CA Resident                  | 47%     | 60%     | 65%     | 59%     | 79%     | 60%     | 65%     | 65%     | 65%     | 64%     | 65%     | 76%     | 70%     |
| Nonresident Domestic         | 17%     | 23%     | 21%     | 35%     | 19%     | 24%     | 26%     | 22%     | 18%     | 28%     | 24%     | 17%     | 21%     |
| International                | 36%     | 18%     | 14%     | 6%      | 2%      | 16%     | 9%      | 13%     | 17%     | 8%      | 12%     | 7%      | 8%      |
| <b>Social Sciences (n)</b>   | 547     | 633     | 624     | 671     | 696     | 629     | 654     | 697     | 650     | 635     | 595     | 673     | 607     |
| CA Resident                  | 39%     | 40%     | 40%     | 43%     | 47%     | 41%     | 45%     | 42%     | 41%     | 47%     | 42%     | 43%     | 40%     |
| Nonresident Domestic         | 33%     | 31%     | 38%     | 39%     | 38%     | 40%     | 36%     | 40%     | 39%     | 36%     | 40%     | 41%     | 42%     |
| International                | 28%     | 28%     | 22%     | 18%     | 15%     | 18%     | 19%     | 18%     | 20%     | 17%     | 17%     | 16%     | 18%     |
| <b>Humanities (n)</b>        | 560     | 585     | 599     | 644     | 582     | 566     | 613     | 604     | 598     | 542     | 490     | 484     | 465     |
| CA Resident                  | 45%     | 46%     | 49%     | 52%     | 52%     | 49%     | 45%     | 46%     | 48%     | 48%     | 46%     | 46%     | 43%     |
| Nonresident Domestic         | 40%     | 40%     | 37%     | 36%     | 39%     | 42%     | 44%     | 39%     | 39%     | 41%     | 45%     | 41%     | 42%     |
| International                | 15%     | 15%     | 14%     | 11%     | 9%      | 8%      | 11%     | 15%     | 14%     | 10%     | 8%      | 12%     | 15%     |
| <b>Fine Arts (n)</b>         | 115     | 138     | 144     | 126     | 111     | 107     | 117     | 125     | 136     | 121     | 109     | 129     | 119     |
| CA Resident                  | 44%     | 47%     | 46%     | 53%     | 56%     | 41%     | 41%     | 41%     | 42%     | 44%     | 45%     | 40%     | 41%     |
| Nonresident Domestic         | 34%     | 38%     | 39%     | 31%     | 35%     | 47%     | 36%     | 45%     | 43%     | 41%     | 44%     | 46%     | 49%     |
| International                | 22%     | 15%     | 15%     | 17%     | 9%      | 12%     | 23%     | 14%     | 16%     | 15%     | 11%     | 14%     | 10%     |
| <b>Professional PhD (n)</b>  | 260     | 295     | 286     | 326     | 256     | 302     | 316     | 352     | 303     | 325     | 273     | 273     | 274     |
| CA Resident                  | 59%     | 60%     | 66%     | 67%     | 71%     | 73%     | 71%     | 65%     | 64%     | 68%     | 65%     | 60%     | 50%     |
| Nonresident Domestic         | 19%     | 15%     | 19%     | 20%     | 19%     | 12%     | 16%     | 18%     | 19%     | 16%     | 17%     | 19%     | 29%     |
| International                | 22%     | 25%     | 14%     | 13%     | 10%     | 14%     | 12%     | 17%     | 16%     | 16%     | 18%     | 21%     | 20%     |
| <b>Other Academic (n)</b>    | 56      | 57      | 64      | 58      | 64      | 61      | 59      | 100     | 59      | 62      | 59      | 61      | 61      |
| CA Resident                  | 52%     | 41%     | 43%     | 47%     | 59%     | 38%     | 60%     | 44%     | 56%     | 47%     | 56%     | 44%     | 57%     |
| Nonresident Domestic         | 30%     | 34%     | 33%     | 28%     | 29%     | 47%     | 30%     | 37%     | 21%     | 27%     | 26%     | 31%     | 28%     |
| International                | 18%     | 26%     | 24%     | 26%     | 12%     | 15%     | 10%     | 19%     | 23%     | 27%     | 19%     | 25%     | 15%     |
| <b>Total (n)</b>             | 4,149   | 4,602   | 5,025   | 4,815   | 4,381   | 4,525   | 4,583   | 5,021   | 4,535   | 4,585   | 4,386   | 4,427   | 4,597   |
| CA Resident                  | 38%     | 37%     | 40%     | 44%     | 46%     | 43%     | 42%     | 39%     | 42%     | 41%     | 43%     | 40%     | 39%     |
| Nonresident Domestic         | 30%     | 31%     | 33%     | 33%     | 33%     | 35%     | 34%     | 34%     | 32%     | 34%     | 33%     | 35%     | 37%     |
| International                | 31%     | 32%     | 27%     | 23%     | 20%     | 22%     | 23%     | 27%     | 27%     | 25%     | 24%     | 25%     | 25%     |

**UC Academic Doctoral International Students by Country of Origin**  
**Full Year Equivalent Enrollment**

|              | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 2012-13 |
|--------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| China        | 1,856   | 1,872   | 1,759   | 1,619   | 1,472   | 1,519   | 1,568   | 1,663   | 1,751   | 1,806   | 1,913   |
| South Korea  | 552     | 585     | 558     | 578     | 585     | 603     | 607     | 581     | 558     | 513     | 489     |
| India        | 547     | 606     | 596     | 598     | 578     | 532     | 496     | 499     | 474     | 467     | 435     |
| Taiwan       | 372     | 404     | 428     | 443     | 433     | 445     | 435     | 433     | 397     | 398     | 395     |
| Canada       | 226     | 231     | 228     | 240     | 233     | 239     | 223     | 221     | 211     | 203     | 195     |
| Iran         | 56      | 82      | 100     | 110     | 109     | 139     | 167     | 199     | 230     | 228     | 253     |
| Turkey       | 149     | 159     | 164     | 154     | 141     | 140     | 140     | 137     | 148     | 156     | 159     |
| Japan        | 193     | 191     | 177     | 168     | 152     | 142     | 130     | 111     | 86      | 86      | 86      |
| Mexico       | 119     | 131     | 126     | 127     | 148     | 151     | 145     | 144     | 139     | 125     | 140     |
| Italy        | 126     | 108     | 97      | 92      | 90      | 85      | 101     | 113     | 112     | 109     | 110     |
| Germany      | 108     | 99      | 99      | 91      | 89      | 99      | 103     | 102     | 88      | 82      | 82      |
| Thailand     | 75      | 73      | 66      | 74      | 89      | 85      | 90      | 101     | 100     | 97      | 94      |
| Brazil       | 101     | 94      | 83      | 80      | 70      | 73      | 67      | 71      | 82      | 80      | 86      |
| France       | 68      | 75      | 66      | 59      | 57      | 64      | 63      | 54      | 57      | 56      | 59      |
| Chile        | 49      | 45      | 47      | 47      | 37      | 44      | 49      | 53      | 75      | 104     | 105     |
| Israel       | 51      | 50      | 57      | 49      | 60      | 63      | 66      | 62      | 62      | 56      | 53      |
| Spain        | 76      | 72      | 65      | 57      | 59      | 56      | 54      | 47      | 41      | 44      | 51      |
| Singapore    | 57      | 57      | 53      | 49      | 43      | 52      | 59      | 64      | 67      | 51      | 61      |
| Russia       | 68      | 81      | 66      | 58      | 44      | 42      | 39      | 34      | 34      | 37      | 39      |
| Australia    | 46      | 37      | 31      | 31      | 28      | 25      | 29      | 23      | 21      | 26      | 27      |
| Other        | 833     | 835     | 782     | 802     | 817     | 821     | 839     | 879     | 876     | 888     | 858     |
| None/Unknown | 56      | 55      | 26      | 7       | 21      | 9       | 9       | 16      | 9       | 11      | 14      |
| Grand Total  | 5,779   | 5,940   | 5,671   | 5,532   | 5,353   | 5,427   | 5,477   | 5,608   | 5,618   | 5,622   | 5,702   |



# **Proposal to Improve University of California-Wide Professional Development Resources for Graduate Students**

## **Introduction: Creating a UC-wide Graduate Student Career Portal**

Prompted by calls from administration, students, and faculty, the UC-wide Doctoral Student Support Conference identified professional development as a key area of attention. With the changing landscape of postgraduate education, increasing numbers of doctoral students are pursuing careers outside of higher education, while the availability of tenure-track university positions continue to decrease relative to the population of Ph.D.s seeking these positions. While the availability of professional development services varies across campuses, overall, graduate students express a need for a greater focus on professional development, especially for those that are investigating careers outside of higher education.

To align with UC strategic mission of increasing success for graduate students and strengthening connections to industry, we are proposing to create a UC-wide graduate student career portal using a UC-wide shared services model. The model will include UC-wide governance for determining functionality, funding, and prioritization of goals while utilizing a Center of Competency at a local campus managing the development and change management of the portal. The portal will be based in part on existing technology used for the UC San Diego Undergraduate Research Portal. The project will:

- 1) **Identify Resources.** Identify existing resources/services on all ten campuses, assess current graduate student satisfaction with existing resources/services, and identify gaps in the resources/services currently being offered.
- 2) **Develop and Deploy a Graduate Student Career Portal.** Develop a UC-wide online resource, and supporting services, for graduate students to facilitate professional development and employment.
- 3) **Assess and Evaluate.** Re-assess graduate student satisfaction post-deployment of the UC-wide online resources and services and measure their effectiveness in supporting student professional development and employment.

## **Methods**

### **Step 1: Identify Resources.**

Working with each campus's Career Services Center and Office of Graduate Studies personnel, an inventory of current practices across all UC campuses will be assembled. This inventory will include services provided, available resources, data collected on graduate student professional development satisfaction, and future plans for increasing student professional development support. A survey will then be conducted to assess graduate students' knowledge and utilization of existing resources/services, satisfaction levels with specific resources/services, and suggestions for professional development resources/services. Using this information, requirements would be generated that would drive the development and design of the UC-wide graduate student career portal.

### **Step 2: Develop and Deploy a Graduate Student Career Portal.**

UC San Diego recently launched the Undergraduate Research Portal (URP, <http://urp.ucsd.edu>), which serves as a one-stop-shop for all things undergraduate research. The proposed UC-wide graduate student professional development resource/service, an online portal, can be modeled after the URP as a one-stop-shop for all things UC graduate student professional development.

Two approaches to developing a graduate student career portal were considered. The first is to closely model the URP, with a minimal amount of career development content (Job Opportunities Only). The portal would include a comprehensive database that will host all graduate-level job opportunities across all campuses as identified by Career Services on each campus. In addition, students will be able to build online profiles, synchronized with LinkedIn, allowing them to promote their expertise to potential employers. We anticipate that the portal will serve as a focal point for employers seeking UC graduate students and faculty will be invited to post opportunities they are aware of through community contacts. This model would require each campus to provide ongoing technical support to link to the centralized system and to devote personnel to promote the portal to faculty, staff, community partners, and students. Furthermore, if there is a lack of campus-based support staff, graduate students will need to independently use the portal to find potential job placement. In essence, one-time funding would support portal development but each campus would be responsible for providing technical support and personnel to promote the portal (cost born by individual campuses).

The second, more comprehensive and sustainable approach, will provide graduate students with the same comprehensive database and profile features as well as additional in-depth information to assist with career planning and resources for development of professional skills (e.g. résumé advice, professionalization of research skills). To support the comprehensive portal (Job Opportunities and Professional Development Resources), we propose that one full-time equivalent (FTE) per campus be hired to work closely with portal developers. The campus-based staff will serve several functions: they will develop the professional development content for the portal; explain and advocate for portal to faculty, staff, community partners, and students; ensure that any existing career databases on campus are appropriately integrated with the portal; and generally encourage new campus-specific professional development programming and services to the graduate students on their campus, both through the portal and through traditional means.

A Center of Competency will be established at UC San Diego to provide technical expertise for project support. The Center of Competency, working with a system-wide Governance Committee, will carry out the design and development of the graduate student career portal. The Governance Committee will make decisions on the initial scope of the portal, the operational service model, and sourcing. UC San Diego will provide project management, development, and hosting coordination. We anticipate a two-year development, launch, and trial period will be necessary.

### Step 3: Assess and Evaluate.

A thorough assessment will be conducted to determine the impact of the new graduate student career portal on graduate student satisfaction and the number and quality of job placements. Such data will be collected both through the portal and through the use of the same instruments used in Step 1. For example, the survey will be re-administered and historical data compared. These assessments will help understand student use of the portal and will be used to determine whether and how adjustments to the portal or other professional development services should be made.

## Expected Benefits and Costs

The proposed activities will clarify and support the current needs of graduate students related to professional development and job placement, and are expected to result in the following benefits:

- 1) More graduate students who appreciate the importance of building a strong professional profile and, as a result, are better prepared for successful careers;
- 2) Higher visibility of pre-existing professional development resources/services;
- 3) Higher level of involvement of the university in job placements for graduate students;
- 4) Improved student satisfaction with services provided by the university; and
- 5) A unique resource that can be used as a recruitment tool for graduate students.

### Budget Option 1 – Job Opportunities Only

The cost for the first approach is summarized in Table 1. This approach includes the development of the graduate student career portal with a limited amount of career development content. Campus-based staff to support portal usage and activities will depend on each campus's funding decisions.

| <b>Development Costs:<br/>(Years 1-2; UC San Diego)</b>         | <b>Annual<br/>Salary Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits<br/>Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|-------------------------------------|-----------------------|
| Shared Service Owner / Project Manager                          | \$90,000                                | 50%           | 2                         | 1                    | \$90,000               | \$38,700                            | <b>\$128,700</b>      |
| Notch 8 (or Programmer Analyst 3)                               | \$80,000                                | 50%           | 1.5                       | 1                    | \$60,000               | \$25,800                            | <b>\$85,800</b>       |
| Administrative Computing and Telecommunications (ACT) Resources | \$100,000                               | 50%           | 1.5                       | 1                    | \$75,000               | \$32,250                            | <b>\$107,250</b>      |
| Hosting Services  |   |               |                           |                      |                        |                                     | <b>\$12,000</b>       |
| Tools   |   |               |                           |                      |                        |                                     | <b>\$20,000</b>       |
| Travel and Expenses   |   |               |                           |                      |                        |                                     | <b>\$10,000</b>       |
|   | <b>TOTAL:</b>                           |               |                           |                      |                        |                                     | <b>\$363,750</b>      |

**Table 1. Budget Option 1 - Development costs for the graduate student career portal.**

## Budget Option 2 – Job Opportunities and Professional Development Resources

Although two models of the graduate career portal were considered, the Doctoral Student Support Committee strongly supports the comprehensive and sustainable approach. The costs for project implementation and sustainability are summarized below. The cost are broken down into three parts:

- Development Costs (Years 1-2; UC San Diego) support staff and resources at UC San Diego to lead all aspects of the project and to develop and deploy the graduate student career portal. In Budget Option 2, project management and programmer analyst costs increased accordingly to reflect the additional responsibility of supporting and liaising with staff from each campus as they work to create professional development content specific to each campus.
- Ongoing Campus-Based Professional Development Staff Costs (Years 1-; UC-wide) support one FTE on each campus to develop professional development programming, resources, and content for graduate students. These staff would be housed in each campus's office of Graduate Studies, Career Services, or equivalent. After development, these staff will promote the portal and ensure that its use is integrated with campus practice.
- Ongoing Annual Costs (Years 3-; UC San Diego) support development of additional portal features and maintenance of the portal.

| <b>Development Costs<br/>(Years 1-2; UC San Diego)</b>          | <b>Annual<br/>Salary Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits<br/>Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|-------------------------------------|-----------------------|
| Shared Service Owner / Project Manager                          | \$90,000                                | 50%           | 2                         | 2                    | \$180,000              | \$77,400                            | <b>\$257,400</b>      |
| Notch 8 (or Programmer Analyst 3)                               | \$80,000                                | 100%          | 2                         | 1                    | \$160,000              | \$68,800                            | <b>\$228,800</b>      |
| Administrative Computing and Telecommunications (ACT) Resources | \$100,000                               | 75%           | 2                         | 1                    | \$150,000              | \$64,500                            | <b>\$214,500</b>      |
| Hosting Services  |   |               |                           |                      |                        |                                     | <b>\$12,000</b>       |
| Tools   |   |               |                           |                      |                        |                                     | <b>\$20,000</b>       |
| Travel and Expenses   |   |               |                           |                      |                        |                                     | <b>\$20,000</b>       |
| <b>DEVELOPMENT COSTS:</b>                                       |   |               |                           |                      |                        |                                     | <b>\$752,700</b>      |

Table 2. Budget Option 2- Development costs for the graduate student career portal.

| <b>Ongoing Campus-Based Support<br/>Staff Costs<br/>(Years 1-; UC-wide)</b> | <b>Annual<br/>Salary Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|---------------------------------|-----------------------|
| Professional Development Staff on Each Campus                               | \$60,000                                | 100%          | 1                         | 10                   | \$600,000              | \$258,000                       | <b>\$858,000</b>      |

Table 3. Budget Option 2 - Ongoing costs for professional development support.

| <b>Annual Costs<br/>(Years 3-; UC San Diego)</b>                | <b>Annual<br/>Salary Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|---------------------------------|-----------------------|
| Notch 8 (or Programmer Analyst 3)                               | \$80,000                                | 50%           | 1                         | 1                    | \$40,000               | \$17,200                        | <b>\$57,200</b>       |
| Administrative Computing and Telecommunications (ACT) Resources | \$100,000                               | 25%           | 1                         | 1                    | \$25,000               | \$10,750                        | <b>\$35,750</b>       |
| Hosting Services  |   |               |                           |                      |                        |                                 | <b>\$6,000</b>        |
| <b>ONGOING COSTS:</b>   |   |               |                           |                      |                        |                                 | <b>\$98,950</b>       |

Table 4. Budget Option 2- Ongoing costs for the graduate student career portal.

A one-time financial commitment of \$752,700 is needed to establish the graduate student career portal, including a comprehensive job database, student profiles, and extensive online professional development resources. Ongoing support

for professional development staff on each campus would be critical for ensuring that professional development programs and services continue that the portal is widely adopted. As such, it is essential that each campus be provided with permanent funding (\$85,800 per campus per annum) to hire a dedicated staff member within Graduate Affairs, Career Services, or wherever the campus deems appropriate for these purposes. Ongoing technical costs after the 2-year development and launch period would cost \$98,950 (\$9,895 per campus per annum).

## Implementation Approach and Timeline

The project will begin by evaluating existing resources/services and identifying specific needs. Next, these needs will be used to guide the design, development, and refinement of a graduate student career portal. Assessment will be an ongoing process after launch of the graduate student career portal. Table 5 below shows the projected timeline.

| Month:                                      | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | Ongoing |
|---|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|---------|
| Identify Resources                          |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |         |
| Develop and Deploy a Graduate Career Portal |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |         |
| Assess and Evaluate                         |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |         |

Table 5. Estimated Timeline.

## Conclusion

The proposed project will: identify gaps in professional development resources/services provided by each of the ten campuses; address these gaps by establishing a unique graduate student career portal; and, establish methods for ongoing assessment of student satisfaction levels of professional development resources/services. By improving the visibility of pre-existing resources and offering pointed guidance, the graduate student career portal will help produce graduates who are better prepared for successful careers. Furthermore, the graduate student career portal will strengthen connections to regional, national and international community and business partners by providing a convenient tool to recruit from University of California's graduate talent. Finally, dedicated staff on each campus will develop new and/or augment existing professional development programs and resources.

## Appendix 1: Budget Justification

A benefit rate of 43% is applied to all personnel costs.

### Budget Option 1

#### Development Costs (Years 1-2; UC San Diego)

**Shared Service Owner / Project Manager:** One 50% FTE will serve as the project manager. The UC San Diego staff will serve as liaisons between:

- Individual campus technical staff to integrate job databases;
- Existing Career Service Center and Graduate Studies personnel to assess existing resources, identify gaps in resources/services, integrate existing resources seamlessly with the graduate student career portal, and develop reassessment strategies to measure student satisfaction;
- The lead programmer to design website features, integrate existing jobs databases, and evaluate user experience; and
- UC San Diego's Administrative Computing and Telecommunications (ACT) to coordinate server set-up, maintenance, and user support services.

The total cost for the two-year development period (\$128,700) is based on an annual salary of \$90,000.

**Notch 8 (or Programmer Analyst 3):** Notch 8, the external vendor who previously developed the URP, or a programmer analyst 3 at UC San Diego will devote 50% of his/her time to serve as the lead programmer for the graduate student career portal. The total cost for the 1.5-year development period (\$85,800) is based on an annual salary of \$80,000.

**Administrative Computing and Telecommunications (ACT) Resources:** One 75% FTE within UC San Diego's ACT office will be devoted to cloud service support, setting up and maintaining the server, and providing technical support through a call center. The total cost for the two-year development period (\$214,500) is based on an annual salary of \$100,000.

**Hosting Services:** The cost to host the graduate student career portal on a server housed at UC San Diego is \$500/month, or \$12,000 for the two-year development period.

**Tools:** \$20,000 is requested to purchase a designated server and associated hardware to house the graduate student career portal.

**Travel and Expenses:** The project manager will need to travel to each of the ten UC campuses prior to portal development to conduct a needs assessment and after portal deployment to train the appropriate staff on the use of portal administrative features. Each trip is estimated to cost \$500 including airfare, hotel, and per diem.

### Budget Option 2

#### Development Costs (Years 1-2; UC San Diego)

**Shared Service Owner / Project Manager:** Two 50% FTEs will serve as project managers. These UC San Diego staff members will lead all aspects of the project and serve as liaisons between:

- Individual campus technical staff to integrate job databases;
- Existing Career Service Center, Graduate Studies personnel, and campus-based graduate student career portal support staff to assess existing resources, identify gaps in resources/services, integrate existing resources seamlessly with the graduate student career portal, incorporate new professional development resources into the portal, and develop reassessment strategies to measure student satisfaction;
- The lead programmer to design website features, integrate existing jobs databases, and evaluate user experience; and
- UC San Diego's Administrative Computing and Telecommunications (ACT) to coordinate server set-up, maintenance, and user support services.

The total cost for the two-year development period (\$257,400) is based on an annual salary of \$90,000. Compared to Budget Option 1, project management costs increased to reflect the additional responsibility of supporting and liaising with staff from each campus as they work to create professional development content specific to each campus and to incorporate this content into the portal.

**Notch 8 (or Programmer Analyst 3):** Notch 8, the external vendor who previously developed the URP, or a programmer analyst 3 at UC San Diego will devote 100% of his/her time to serve as the lead programmer for the graduate student career portal. The total cost for the two-year development period (\$228,800) is based on an annual salary of \$80,000. Compared to Budget Option 1, programmer costs increased to reflect the additional responsibility incorporating new professional development content into the portal.

**Academic Computing and Telecommunications (ACT) Resources:** One 75% FTE within UC San Diego's ACT office will be devoted to cloud service support, setting up and maintaining the server, and providing technical support through a call center. The total cost for the two-year development period (\$214,500) is based on an annual salary of \$100,000.

**Hosting Services:** The cost to host the graduate student career portal on a server housed at UC San Diego is \$500/month, or \$12,000 for the two-year development period.

**Tools:** \$20,000 is requested to purchase a designated server and associated hardware to house the graduate student career portal.

**Travel and Expenses:** The project managers will need to travel to each of the ten UC campuses prior to portal development to conduct a needs assessment and after Portal deployment to train the appropriate staff on the use of portal administrative features. Each trip is estimated to cost \$500 per person including airfare, hotel, and per diem.

#### **Ongoing Campus-Based Professional Development Staff Costs (Years 1-; UC-Wide)**

**Professional Development Staff on Each Campus:** Ten 100% FTEs (one per campus) will:

- Create new programs and/or expand existing programs for graduate student professional development;
- Work with UC San Diego project managers and their home campus Career Services, Graduate Studies, and similar to identify existing and required resources;
- Build on existing resources to create professional development content which may be furnished through the graduate student career portal;
- Promote the portal to faculty, staff, community and business partners, and students;
- Update the professional development content of the portal;
- Identify, and propose to the Governance Committee, areas for further portal development; and
- Assess graduate student satisfaction with the available professional development resources.

These FTEs (affiliated with Career Services, Graduate Studies, or similar) are essential to ensure that the portal technology is effectively adopted on each campus. The total cost per annum (\$858,000) is based on an annual salary of \$60,000.

#### **Annual Costs (Years 3-; UC San Diego)**

**Notch 8 (or Programmer Analyst 3):** The external vendor who previously developed the URP, Notch 8, or a programmer analyst 3 at UC San Diego will devote 50% of his/her time to implement portal improvements as requested by individual campuses and prioritized by the Governance Committee. The annual cost (\$57,200) is based on an annual salary of \$80,000.

**Administrative Computing and Telecommunications (ACT) Resources:** One 25% FTE within UC San Diego's ACT office will be devoted to cloud service support, maintaining the server, and providing technical support through a call center. The annual cost (\$35,750) is based on an annual salary of \$100,000.

**Hosting Services:** The cost to host the graduate student career portal on a server housed at UC San Diego is \$500/month, or \$6,000 annually.

# **Proposal to Improve University of California-Wide Professional Development Resources for Graduate Students**

## **Introduction: Creating a UC-wide Graduate Student Career Portal**

Prompted by calls from administration, students, and faculty, the UC-wide Doctoral Student Support Conference identified professional development as a key area of attention. With the changing landscape of postgraduate education, increasing numbers of doctoral students are pursuing careers outside of higher education, while the availability of tenure-track university positions continue to decrease relative to the population of Ph.D.s seeking these positions. While the availability of professional development services varies across campuses, overall, graduate students express a need for a greater focus on professional development, especially for those that are investigating careers outside of higher education.

To align with UC strategic mission of increasing success for graduate students and strengthening connections to industry, we are proposing to create a UC-wide graduate student career portal using a UC-wide shared services model. The model will include UC-wide governance for determining functionality, funding, and prioritization of goals while utilizing a Center of Competency at a local campus managing the development and change management of the portal. The portal will be based in part on existing technology used for the UC San Diego Undergraduate Research Portal. The project will:

- 1) **Identify Resources.** Identify existing resources/services on all ten campuses, assess current graduate student satisfaction with existing resources/services, and identify gaps in the resources/services currently being offered.
- 2) **Develop and Deploy a Graduate Student Career Portal.** Develop a UC-wide online resource, and supporting services, for graduate students to facilitate professional development and employment.
- 3) **Assess and Evaluate.** Re-assess graduate student satisfaction post-deployment of the UC-wide online resources and services and measure their effectiveness in supporting student professional development and employment.

## **Methods**

### **Step 1: Identify Resources.**

Working with each campus's Career Services Center and Office of Graduate Studies personnel, an inventory of current practices across all UC campuses will be assembled. This inventory will include services provided, available resources, data collected on graduate student professional development satisfaction, and future plans for increasing student professional development support. A survey will then be conducted to assess graduate students' knowledge and utilization of existing resources/services, satisfaction levels with specific resources/services, and suggestions for professional development resources/services. Using this information, requirements would be generated that would drive the development and design of the UC-wide graduate student career portal.

### **Step 2: Develop and Deploy a Graduate Student Career Portal.**

UC San Diego recently launched the Undergraduate Research Portal (URP, <http://urp.ucsd.edu>), which serves as a one-stop-shop for all things undergraduate research. The proposed UC-wide graduate student professional development online resource/service, an online portal, can be modeled after the URP as a one-stop-shop for all things UC graduate student professional development.

Two approaches to developing a graduate student career portal were considered. The first is to closely model the URP, with a limited amount of career development content. The portal would include a comprehensive database that will host all graduate-level job opportunities on a system-wide level. In addition, students will be able to build online profiles, synchronized with LinkedIn, allowing them to promote their expertise to potential employers. We anticipate that the portal will serve as a focal point for employers seeking UC graduate students and act as a resource for faculty to post opportunities they are aware of through industry contacts. This model would require each campus to provide ongoing technical support to link to the centralized system and to devote personnel to promote the portal to faculty, staff, community partners, and students. Furthermore, if there is a lack of campus-based support staff, graduate students will

need to self-sufficiently use the portal to engage in career development and potential job placement. In essence, one-time funding would support portal development but each campus would be responsible for providing ongoing resources and portal related services, including personnel.

The second, more comprehensive and sustainable approach, will provide graduate students with the same comprehensive database and profile features as well as in-depth information to assist with career planning and resources for development of professional skills (e.g. résumé advice, professionalization of research skills). To support these efforts, we propose that one full-time equivalent (FTE) per campus be hired to work closely with portal developers. The campus-based staff will serve several functions: they will develop the professional development content for the portal; explain and evangelize the portal to faculty, staff, community partners, and students; ensure that any existing career databases on campus are appropriately integrated with the portal; and generally provide professional development programming and services to the graduate students on their campus, both through the portal and through traditional means.

The Center of Competency at UC San Diego, working with a system-wide Governance Committee, will carry out the design and development of the graduate student career portal. The Governance Committee will make decisions on the initial scope of the portal, the operational service model, and sourcing. UC San Diego will provide project management, development, and hosting coordination. We anticipate a two-year development and launch period will be necessary.

### **Step 3: Assess and Evaluate.**

A thorough assessment will be conducted to determine the impact of the new graduate student career portal on student satisfaction and job placements. Such data will be collected both through the portal and through the use of the same instruments used in Step 1—for example, the survey will be re-administered and historical data compared. These assessments will help understand student use of the portal and will be used to determine whether and how adjustments to the portal or other professional development services should be made.



## Expected Benefits and Costs

The proposed activities will clarify and support the current needs of graduate students related to professional development and job placement, and are expected to result in the following benefits:

- 1) More graduate students who appreciate the importance of building a strong professional profile and, as a result, are better prepared for successful careers;
- 2) Higher visibility of pre-existing professional development resources/services;
- 3) Higher level of involvement of the university in job placements for graduate students;
- 4) Improved student satisfaction with services provided by the university; and
- 5) A unique resource that can be used as a recruitment tool for graduate students.

### Budget Option 1

The cost for the first approach is summarized in the table below. This approach includes the development of the graduate student career portal with a limited amount of career development content. Campus-based staff to support portal usage and activities will depend on each campus's funding decisions.

| <b>Development Costs:<br/>(Years 1-2; UC San Diego)</b>   | <b>Annual<br/>Salary</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Cost:<br/>Salary</b> | <b>Cost:<br/>Benefits<br/>(@43%)</b> | <b>Cost:<br/>Total</b> |
|---|--------------------------|---------------|---------------------------|----------------------|-------------------------|--------------------------------------|------------------------|
| Shared Service Owner / Project Manager                    | \$90,000                 | 50%           | 2                         | 1                    | \$90,000                | \$38,700                             | \$128,700              |
| Notch 8 (or Programmer Analyst 3)                         | \$80,000                 | 50%           | 1.5                       | 1                    | \$60,000                | \$25,800                             | \$85,800               |
| Academic Computing and Telecommunications (ACT) Resources | \$100,000                | 50%           | 1.5                       | 1                    | \$75,000                | \$32,250                             | \$107,250              |
| Hosting Services  |                          |               |                           |                      |                         |                                      | \$12,000               |
| Tools   |                          |               |                           |                      |                         |                                      | \$20,000               |
| Travel and Expenses                                       |                          |               |                           |                      |                         |                                      | \$10,000               |
| <b>TOTAL:</b>   |                          |               |                           |                      |                         |                                      | <b>\$363,750</b>       |

Table 1. Budget Option 1 - Development costs for the graduate student career portal.

### Budget Option 2

Although two models of the graduate career portal were considered, the Doctoral Student Support Committee strongly supports the comprehensive and sustainable approach. The costs for project implementation and sustainability are summarized below. The cost are broken down into three parts:

- Development Costs (Years 1-2; UC San Diego) support staff and resources at UC San Diego to lead all aspects of the project and to develop and deploy the graduate student career portal. In Budget Option 2, project management and programmer analyst costs increased accordingly to reflect the additional responsibility of supporting and liaising with staff from each campus as they work to create professional development content specific to each campus.
- Ongoing Campus-Based Professional Development Staff Costs (Years 1-; UC-wide) support one FTE on each campus to develop professional development programming, resources, and content for graduate students. These staff would be housed in each campus's office of Graduate Studies, Career Services, or equivalent. After development, these staff will promote the portal and ensure that its use is integrated with campus practice.
- Ongoing Annual Costs (Years 3-; UC San Diego) support development of additional Portal features, maintenance of the Portal.

| <b>Development Costs<br/>(Years 1-2; UC San Diego)</b>    | <b>Annual<br/>Salary<br/>Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits<br/>Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|-------------------------------------|-----------------------|
| Shared Service Owner / Project Manager                    | \$90,000                                    | 50%           | 2                         | 2                    | \$180,000              | \$77,400                            | <b>\$257,400</b>      |
| Notch 8 (or Programmer Analyst 3)                         | \$80,000                                    | 100%          | 2                         | 1                    | \$160,000              | \$68,800                            | <b>\$228,800</b>      |
| Academic Computing and Telecommunications (ACT) Resources | \$100,000                                   | 75%           | 2                         | 1                    | \$150,000              | \$64,500                            | <b>\$214,500</b>      |
| Hosting Services  |   |               |                           |                      |                        |                                     | <b>\$12,000</b>       |
| Tools   |   |               |                           |                      |                        |                                     | <b>\$20,000</b>       |
| Travel and Expenses                                       |   |               |                           |                      |                        |                                     | <b>\$20,000</b>       |
| <b>DEVELOPMENT COSTS:</b>                                 |   |               |                           |                      |                        |                                     | <b>\$752,700</b>      |

**Table 2. Budget Option 2- Development costs for the graduate student career portal.**

| <b>Ongoing Campus-Based Support Staff Costs<br/>(Years 1-; UC-wide)</b> | <b>Annual<br/>Salary<br/>Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits<br/>Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|-------------------------------------|-----------------------|
| Professional Development Staff on Each Campus                           | \$60,000                                    | 100%          | 1                         | 10                   | \$600,000              | \$258,000                           | <b>\$858,000</b>      |

**Table 3. Budget Option 2 - Ongoing costs for professional development support**

| <b>Annual Costs<br/>(Years 3-; UC San Diego)</b>          | <b>Annual<br/>Salary<br/>Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits<br/>Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|-------------------------------------|-----------------------|
| Notch 8 (or Programmer Analyst 3)                         | \$80,000                                    | 50%           | 1                         | 1                    | \$40,000               | \$17,200                            | <b>\$57,200</b>       |
| Academic Computing and Telecommunications (ACT) Resources | \$100,000                                   | 25%           | 1                         | 1                    | \$25,000               | \$10,750                            | <b>\$35,750</b>       |
| Hosting Services  |   |               |                           |                      |                        |                                     | <b>\$6,000</b>        |
| <b>ONGOING COSTS:</b>                                     |   |               |                           |                      |                        |                                     | <b>\$98,950</b>       |

**Table 4. Budget Option 2- Ongoing costs for the graduate student career portal.**

A minimum one-time financial commitment of \$752,700 is needed to establish the graduate student career portal, including a comprehensive job database, student profiles, and existing online professional development resources. Ongoing support for professional development staff on each campus would be critical for ensuring that professional development programs and services continue that the portal is widely adopted. As such, it is essential that each campus be provided with permanent funding (\$85,800 per campus per annum) to hire a dedicated staff member within Graduate Affairs, Career Services, or wherever the campus deems appropriate for these purposes. Ongoing technical costs after the 2-year development and launch period would cost \$98,950 (\$9,895 per campus per annum).

### Budget Option 3

Budget Option 3 is similar to Budget Option 2, but it decouples the role of the campus-based staff from the development of the portal, reducing development costs. Though these staff would still perform their primary function of developing and expanding professional development programming on their home campuses, and though they would still promote and facilitate the portal's usage on their home campuses, they would not engage in the development process of the Portal as in Budget Option 2. Professional development content created by the campus-based staff would not be housed on the Portal website under this option, nor would project management for these staff be centrally provided by UCSD.

| <b>Development Costs:<br/>(Years 1-2; UC San Diego)</b>   | <b>Annual<br/>Salary</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Cost:<br/>Salary</b> | <b>Cost:<br/>Benefits<br/>(@43%)</b> | <b>Cost:<br/>Total</b> |
|---|--------------------------|---------------|---------------------------|----------------------|-------------------------|--------------------------------------|------------------------|
| Shared Service Owner / Project Manager                    | \$90,000                 | 50%           | 2                         | 1                    | \$90,000                | \$38,700                             | \$128,700              |
| Notch 8 (or Programmer Analyst 3)                         | \$80,000                 | 50%           | 1.5                       | 1                    | \$60,000                | \$25,800                             | \$85,800               |
| Academic Computing and Telecommunications (ACT) Resources | \$100,000                | 50%           | 1.5                       | 1                    | \$75,000                | \$32,250                             | \$107,250              |
| Hosting Services  |                          |               |                           |                      |                         |                                      | \$12,000               |
| Tools   |                          |               |                           |                      |                         |                                      | \$20,000               |
| Travel and Expenses                                       |                          |               |                           |                      |                         |                                      | \$10,000               |
| <b>DEVELOPMENT COSTS:</b>                                 |                          |               |                           |                      |                         |                                      | <b>\$363,750</b>       |

Table 5. Budget Option 3 - Development costs for the graduate student career portal.

| <b>Ongoing Campus-Based Staff<br/>Costs<br/>(Years 1-; UC-wide)</b> | <b>Annual<br/>Salary<br/>Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits<br/>Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|-------------------------------------|-----------------------|
| Professional Development Staff on Each Campus                       | \$60,000                                    | 100%          | 1                         | 10                   | \$600,000              | \$258,000                           | <b>\$858,000</b>      |

Table 6. Budget Option 3 - Ongoing costs for professional development staff

| <b>Annual Costs<br/>(Years 3-; UC San Diego)</b>          | <b>Annual<br/>Salary<br/>Per<br/>Person</b> | <b>Effort</b> | <b>Length<br/>[years]</b> | <b>#<br/>Persons</b> | <b>Salary<br/>Cost</b> | <b>Benefits<br/>Cost<br/>(@43%)</b> | <b>Total<br/>Cost</b> |
|---|---|---------------|---------------------------|----------------------|------------------------|-------------------------------------|-----------------------|
| Notch 8 (or Programmer Analyst 3)                         | \$80,000                                    | 50%           | 1                         | 1                    | \$40,000               | \$17,200                            | <b>\$57,200</b>       |
| Academic Computing and Telecommunications (ACT) Resources | \$100,000                                   | 25%           | 1                         | 1                    | \$25,000               | \$10,750                            | <b>\$35,750</b>       |
| Hosting Services  |   |               |                           |                      |                        |                                     | <b>\$6,000</b>        |
| <b>ONGOING COSTS:</b>                                     |   |               |                           |                      |                        |                                     | <b>\$98,950</b>       |

Table 7. Budget Option 3 - Ongoing costs for the graduate student career portal.

## Implementation Approach and Timeline

The project will begin by evaluating existing resources/services and identifying specific needs. Next, these needs will be used to guide the design, development, and refinement of a graduate student career portal. Assessment will be an ongoing process after launch of the graduate student career portal. Table 4 below shows the projected timeline.

| Month:                                      | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | Ongoing |
|---|---|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|----|----|----|----|----|----|----|----|---------|
| Identify Resources                          |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |         |
| Develop and Deploy a Graduate Career Portal |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |         |
| Assess and Evaluate                         |   |   |   |   |   |   |   |   |   |    |    |    |    |    |    |    |    |    |    |    |    |    |    |    |         |

Table 5. Estimated Timeline.

## Conclusion

The proposed project will: identify gaps in professional development resources/services provided by each of the ten campuses; address these gaps by establishing a unique graduate student career portal; and, establish methods for ongoing assessment of student satisfaction levels of professional development resources/services. By improving the visibility of pre-existing resources and offering pointed guidance, the graduate student career portal will help produce graduates who are better prepared for successful careers. Furthermore, the graduate student career portal will strengthen connections to regional, national and international community and business partners by providing a convenient tool to recruit from University of California's graduate talent. Finally, dedicated staff on each campus will develop new and/or augment existing professional development programs and resources.

## Appendix 1: Budget Justification

A benefit rate of 43% is applied to all personnel costs.

### Budget Option 1

#### Development Costs (Years 1-2; UC San Diego)

**Shared Service Owner / Project Manager:** One 50% FTE will serve as the project manager. The UC San Diego staff will serve as liaisons between:

- Individual campus technical staff to integrate job databases;
- Existing Career Service Center and Graduate Studies personnel to assess existing resources, identify gaps in resources/services, integrate existing resources seamlessly with the graduate student career portal, and developing reassessment strategies to measure student satisfaction;
- The lead programmer to design website features, integrate existing jobs databases, and evaluate user experience; and
- UC San Diego's Academic Computing and Telecommunications (ACT) to coordinate server set-up, maintenance, and user support services.

The total cost for the two-year development period (\$128,700) is based on an annual salary of \$90,000.

**Notch 8 (or Programmer Analyst 3):** Notch 8, the external vendor who previously developed the URP, or a programmer analyst 3 at UC San Diego will devote 50% of his/her time to serve as the lead programmer for the graduate student career portal. The total cost for the 1.5-year development period (\$85,800) is based on an annual salary of \$80,000.

**Academic Computing and Telecommunications (ACT) Resources:** One 75% FTE within UC San Diego's ACT office will be devoted to cloud service support, setting up and maintaining the server, and providing technical support through a call center. The total cost for the two-year development period (\$214,500) is based on an annual salary of \$100,000.

**Hosting Services:** The cost to host the graduate student career portal on a server housed at UC San Diego is \$500/month, or \$12,000 for the two-year development period.

**Tools:** \$20,000 is requested to purchase a designated server and associated hardware to house the graduate student career portal.

**Travel and Expenses:** The project manager will need to travel to each of the ten UC campuses prior to portal development to conduct a needs assessment and after Portal deployment to train the appropriate staff on the use of portal administrative features. Each trip is estimated to cost \$500 including airfare, hotel, and per diem.

### Budget Option 2

#### Development Costs (Years 1-2; UC San Diego)

**Shared Service Owner / Project Manager:** Two 50% FTEs will serve as project managers. These UC San Diego staff members will lead all aspects of the project and serve as liaisons between:

- Individual campus technical staff to integrate job databases;
- Existing Career Service Center, Graduate Studies personnel, and campus-based professional development staff to assess existing resources, identify gaps in resources/services, integrate existing resources seamlessly with the graduate student career portal, and developing reassessment strategies to measure student satisfaction;
- The lead programmer to design website features, integrate existing jobs databases, and evaluate user experience; and
- UC San Diego's Academic Computing and Telecommunications (ACT) to coordinate server set-up, maintenance, and user support services.

The total cost for the two-year development period (\$257,400) is based on an annual salary of \$90,000.

**Notch 8 (or Programmer Analyst 3):** Notch 8, the external vendor who previously developed the URP, or a programmer analyst 3 at UC San Diego will devote 100% of his/her time to serve as the lead programmer for the graduate student career portal. The total cost for the two-year development period (\$228,800) is based on an annual salary of \$80,000.

**Academic Computing and Telecommunications (ACT) Resources:** One 75% FTE within UC San Diego's ACT office will be devoted to cloud service support, setting up and maintaining the server, and providing technical support through a call center. The total cost for the two-year development period (\$214,500) is based on an annual salary of \$100,000.

**Hosting Services:** The cost to host the graduate student career portal on a server housed at UC San Diego is \$500/month, or \$12,000 for the two-year development period.

**Tools:** \$20,000 is requested to purchase a designated server and associated hardware to house the graduate student career portal.

**Travel and Expenses:** The project managers will need to travel to each of the ten UC campuses prior to portal development to conduct a needs assessment and after Portal deployment to train the appropriate staff on the use of portal administrative features. Each trip is estimated to cost \$500 per person including airfare, hotel, and per diem.

### **Ongoing Campus-Based Professional Development Staff Costs (Years 1-; UC-Wide)**

**Professional Development Staff on Each Campus:** Ten 100% FTEs (one per campus) will:

- Create new programs and/or expand existing programs for graduate student professional development;
- Work with UC San Diego project managers and their home campus Career Services, Graduate Studies, and similar to identify existing and required resources;
- Build on existing resources to create professional development content which may be furnished through the graduate student career portal;
- Promote the portal to faculty, staff, community and business partners, and students;
- Identify, and propose to the Governance Committee, areas for further portal development; and
- Assess graduate student satisfaction with the available professional development resources.

These FTEs (affiliated with Career Services, Graduate Studies, or similar) are essential to ensure that the portal technology is effectively adopted on each campus. The total cost per annum (\$858,000) is based on an annual salary of \$60,000.

### **Annual Costs (Years 3-; UC San Diego)**

**Notch 8 (or Programmer Analyst 3):** The external vendor who previously developed the URP, Notch 8, or a programmer analyst 3 at UC San Diego will devote 50% of his/her time to implement portal improvements as requested by individual campuses and prioritized by the Governance Committee. The annual cost (\$57,200) is based on an annual salary of \$80,000.

**Academic Computing and Telecommunications (ACT) Resources:** One 25% FTE within UC San Diego's ACT office will be devoted to cloud service support, maintaining the server, and providing technical support through a call center. The annual cost (\$35,750) is based on an annual salary of \$100,000.

**Hosting Services:** The cost to host the graduate student career portal on a server housed at UC San Diego is \$500/month, or \$6,000 annually.

### **Budget Option 3**

#### **Development Costs (Years 1-2; UC San Diego)**

**Shared Service Owner / Project Manager:** One 50% FTE will serve as the project manager. The UC San Diego staff will serve as liaisons between:

- Individual campus technical staff to integrate job databases;

- Existing Career Service Center and Graduate Studies personnel to assess existing resources, identify gaps in resources/services, integrate existing resources seamlessly with the graduate student career portal, and developing reassessment strategies to measure student satisfaction;
- The lead programmer to design website features, integrate existing jobs databases, and evaluate user experience; and
- UC San Diego's Academic Computing and Telecommunications (ACT) to coordinate server set-up, maintenance, and user support services.

The total cost for the two-year development period (\$128,700) is based on an annual salary of \$90,000.

**Notch 8 (or Programmer Analyst 3):** Notch 8, the external vendor who previously developed the URP, or a programmer analyst 3 at UC San Diego will devote 50% of his/her time to serve as the lead programmer for the graduate student career portal. The total cost for the 1.5-year development period (\$85,800) is based on an annual salary of \$80,000.

**Academic Computing and Telecommunications (ACT) Resources:** One 75% FTE within UC San Diego's ACT office will be devoted to cloud service support, setting up and maintaining the server, and providing technical support through a call center. The total cost for the two-year development period (\$214,500) is based on an annual salary of \$100,000.

**Hosting Services:** The cost to host the graduate student career portal on a server housed at UC San Diego is \$500/month, or \$12,000 for the two-year development period.

**Tools:** \$20,000 is requested to purchase a designated server and associated hardware to house the graduate student career portal.

**Travel and Expenses:** The project manager will need to travel to each of the ten UC campuses prior to portal development to conduct a needs assessment and after Portal deployment to train the appropriate staff on the use of portal administrative features. Each trip is estimated to cost \$500 including airfare, hotel, and per diem.

#### **Ongoing Campus-Based Professional Development Staff Costs (Years 1-; UC-Wide)**

**Professional Development Staff on Each Campus:** Ten 100% FTEs (one per campus) will:

- Create new programs and/or expand existing programs for graduate student professional development;
- Promote the portal to faculty, staff, community and business partners, and students;
- Assess graduate student satisfaction with the available professional development resources.

These FTEs (affiliated with Career Services, Graduate Studies, or similar) are essential to ensure that the portal technology is effectively adopted on each campus. The total cost per annum (\$858,000) is based on an annual salary of \$60,000.

#### **Annual Costs (Years 3-; UC San Diego)**

**Notch 8 (or Programmer Analyst 3):** The external vendor who previously developed the URP, Notch 8, or a programmer analyst 3 at UC San Diego will devote 50% of his/her time to implement portal improvements as requested by individual campuses and prioritized by the Governance Committee. The annual cost (\$57,200) is based on an annual salary of \$80,000.

**Academic Computing and Telecommunications (ACT) Resources:** One 25% FTE within UC San Diego's ACT office will be devoted to cloud service support, maintaining the server, and providing technical support through a call center. The annual cost (\$35,750) is based on an annual salary of \$100,000.

**Hosting Services:** The cost to host the graduate student career portal on a server housed at UC San Diego is \$500/month, or \$6,000 annually.

## **UC-HSI-TCU Initiative: An Investment in Our Future**

### **PROBLEM:**

In the 2010 U.S. Census, Hispanics or Latinos comprised 16.4% of the population in the U.S. In California they represent 37.7% of the state's population. It is imperative, for the state and nation, that as this demographic continues to grow, it is fully engaged in the higher education enterprise. We must also do more to ensure the inclusion of American Indians and Alaska Natives in UC's research enterprise. In the 2010 census, American Indians and Alaska Natives comprised 2% of the U.S. population, with 13.9% of the group's entire population living in California, making California the most populous state for American Indians and Alaska Natives. However, their representation in UC academic doctoral programs is dismally low.

To that end, UC continues to seek ways to attract and enroll scholars from historically excluded populations. At the graduate level Chicano/Latinos and American Indians/Alaska Natives are extremely underrepresented in UC graduate and professional programs. The five-year average (2009-2013) for enrollment of Latinos in UC academic doctoral programs is 7.5% and the five-year average (2009-2013) for enrollment of American Indians in UC academic doctoral programs is 0.8%. **UC can and must do better.**

The University of California's reputation as a premier research and teaching institution rests on its capacity to serve the State of California, and the nation, at the highest levels. This requires attracting and graduating scholars who reflect the communities of the world.

### **OPPORTUNITY:**

As defined by the Hispanic Association of Colleges and Universities (HACU), HSIs (Hispanic Serving Institutions) are colleges or universities where total Hispanic enrollment constitutes a minimum of 25% of the total enrollment. Currently there are 125 four year institutions that are HSIs – including UCM, UCR and UCSC, as well as 15 of the 23 CSU campuses. **With 65% of California State University campuses qualifying as HSIs there is great potential for UC to focus its HSI efforts on CSU institutions.** The close proximity of the CSU campuses will allow for greater collaboration and engagement between faculty and on behalf of students. **This effort could serve as an intersegmental model program in service of the State's imperative to educate talented Californians at every level.** UC will partner with the CSU Chancellor's Office to enroll diverse students at HSI-CSU campuses into UC PhD programs and encourage potential research collaborations and shared professional development opportunities between UC and CSU faculty. The partnership will seek to secure state funding to assist in this effort.

Chicanos/Latinos are the only historically underrepresented group to have shown steady gains in the number and percent enrolled in UC academic doctoral programs over the past ten years. Between fall 2006 and fall 2013, enrollment grew from 6.5% to 7.9%, a 1.4% increase and five year average of 7.5%. Furthermore, American Indians comprised only 0.9% of UC academic doctoral student enrollment in fall 2013 and the five year average is only 0.8%. Compared to their total and state populations, UC academic doctoral enrollment for both groups is low. Moreover, during the 5-year period from 2007-08 through 2011-2012 Latinos were awarded 6% and American Indians were awarded an average of 0.5% of academic and professional doctorates at UC. To improve the representation of these groups, UC must invest in programs and efforts that cultivate relationships with communities and institutions that produce Chicano/Latino and/or American Indian/Alaska Native graduates from high schools, colleges and universities.



In the United States, Tribal Colleges and Universities (TCUs) are chartered by their respective tribal governments. According to the American Indian Higher Education Consortium, campuses exist in 15 states and serve students from more than 230 federally recognized Indian tribes. There are 34 accredited TCU institutions in the United States (13 award bachelor's degrees and 2 award master's degrees), as well as three schools seeking accreditation, and one located in Canada. In 2012-13 TCUs served nearly 19,000 part-time and full-time students, the majority of which were American Indian and Alaska Native students.

Substantive collaboration with faculty from the partnering HSI or TCU is critical for any successful grant application and faculty will be able to partner with any department at an HSI or TCU institution that she/he deems most appropriate. The goal is to establish efforts that can help UC graduate programs support student achievement and cultivate talent at institutions that are generally less represented in UC graduate admission pools, as well as support collaboration opportunities for UC faculty. As students participate in summer research experiences they will become more familiar with the graduate program on that campus, and likely UC in general. They will also have established reciprocal relationships with faculty and graduate students, developed as researchers, and become more knowledgeable about the graduate application process. These efforts will greatly strengthen the applications of those who choose to apply for admission to UC.

The goal of the UC-Hispanic Serving Institutions and Tribal Colleges and Universities Initiative is to increase the number of scholars from Hispanic Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs) enrolling in UC academic doctoral programs.

#### **PROPOSAL:**

To improve the representation of Latinos, American Indians and Alaska Natives in its graduate programs, particularly PhD programs, UC should invest in programs and efforts that cultivate relationships with communities and institutions that produce graduates from these backgrounds. UCOP will develop an initiative similar to the successful UC-HBCU Initiative. This effort will focus on improving enrollment of Latinos and American Indians and Alaska Natives in UC PhD programs. UCOP will invite proposals from UC faculty members at each of the ten campuses who would like to host and immerse students from Hispanic Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs) in UC research training internships during the summer and develop an ongoing collaboration and engagement with students and faculty from partner HSIs and TCUs. This engagement will ultimately lead to greater numbers of HSI and TCU scholars applying to and enrolling in graduate school at a UC campus. The UCOP project will also provide cost-share fellowships, in collaboration with campuses, for participants that are admitted to UC PhD programs. This is an important element to successfully recruiting top graduate students. The UC-HSI-TCU Initiative will consist of two components:

- 1) **Faculty Grants** will be awarded competitively to support student summer research internships as well as other collaborations or opportunities that serve the goals of the initiative. Grants are available to principal investigators in all disciplines. Funds may be used in different ways to achieve the goals of increased representation, including bringing students to UC campuses for summer research programs, conference participation, and travel or meetings to establish new collaborations with HSI or TCU students and faculty.

There will be two types of grant opportunities: 1) one-year *Summer Research Internship Support Grant* and 2) three-year *Summer Research and Graduate Admission Pathways Grant*. Both grants support students conducting summer research at a UC campus. Graduate admission pathways funds are designed to encourage the development of long-term efforts to increase the number of HSI and TCU students applying to UC graduate

programs and to actively shift UC department or program culture to be more inclusive, particularly of these underrepresented populations. These funded summer research internships will be for undergraduate or master's level students from any HSI or TCU; PIs will determine which level(s) of student to include in their projects.

- 2) **Funding for Fellows-** Financial support is a critical concern for prospective graduate students from all walks of life, particularly for students from underrepresented groups, who are often hesitant or not encouraged to consider graduate school due to financial concerns. Initiative fellowship funding will significantly impact UC outreach and recruitment as faculty and staff will be able to advise Initiative interns that they are assured of being awarded a competitive funding package if admitted to a UC PhD program.

The fellowship support recommendation is to budget for an estimated 50-100 new fellows per year with two years of UCOP fellowship support (note: fellowship funds are distributed to campuses based on the number of Initiative fellows the campus enrolls in PhD programs, not on a per campus basis); once operational, the Initiative will budget for up to 100 new fellows a year (systemwide). UCOP will be able to plan appropriately once the Initiative is established and the interest and scope of successful faculty proposals are assessed. Through the Initiative, UC will offer two years of central fellowship support. The award will require the program/department/campus to provide a multi-year award offer, including *at least* two years of additional support in the form of a GSRship, TAs and/or fellowship, depending on department norms. The fellowship will offer flexibility in allowing programs to determine distribution (i.e. fellowship in the first year, GSR in the second year, etc.). Interns must apply to a degree program within 3 years of completing their current degree to be eligible for the fellowship.

#### **ANNUAL COST:**

The initial annual budget required to launch the Initiative with an adequate grants program will be **\$6,125,000** (the first two years of the initiative only includes grant and administrative costs). This will allow \$6M annually to fund the systemwide grants program and \$125,000 for administrative costs. The program can expect to begin supporting fellows in year 3 of operation, with an increase in year 4, and by years 5-6 likely build to a steady state of providing cost-share fellowships to approximately 100 fellows a year; by years 5-6 the estimated annual budget for steady state operation will be approximately **\$16.2M**. Below are 6 operational funding levels to be considered; level one is recommended:

## **UC-HSI-TCU Initiative Annual Allocation Options**

### **Level One:**

#### **100 fellows w/2 years of fellowship support/\$6M in faculty grants**

Campuses/departments are required to offer an additional 2 years of support

| <b>Expense</b>   | <b>Year One</b> | <b>Year Two</b> | <b>Year Three</b>            | <b>Year Four</b>             | <b>Year Five +</b>                                      |
|--|-----------------|-----------------|------------------------------|------------------------------|---|
| <b>Faculty Grants</b>  | \$6,000,000     | \$6,000,000     | \$6,000,000                  | \$6,000,000                  | \$6,000,000   |
| <b>Administrative Costs</b> ( <i>assumes 3% increase each year</i> )   | \$125,000       | \$128,750       | \$132,612                    | \$136,590                    | \$140,688   |
| <b>Est. Fellowship Expense</b> ( <i>beginning year three; assumes blend of STEM/HSS students and 6% tuition increase</i> ) |                 |                 | \$5,041,100<br>(50 students) | \$8,065,760<br>(80 students) | \$10,082,200<br>(100 students -est. steady state level) |
| <b>Total Annual Budget (est.)</b>  | \$6,125,000     | \$6,128,750     | \$11,173,712                 | \$14,202,350                 | \$16,222,888  |

An endowment of approximately \$390M would be required to fund the \$16,222,888 steady-state level (estimated 4.2% annual payout).

### **Level Two:**

#### **50 fellows w/2 years of fellowship support/\$6M in faculty grants**

Campuses/departments are required to offer an additional 2 years of support

| <b>Expense</b>   | <b>Year One</b> | <b>Year Two</b> | <b>Year Three</b>            | <b>Year Four</b>             | <b>Year Five +</b>                                    |
|--|-----------------|-----------------|------------------------------|------------------------------|---|
| <b>Faculty Grants</b>  | \$6,000,000     | \$6,000,000     | \$6,000,000                  | \$6,000,000                  | \$6,000,000   |
| <b>Administrative Costs</b> ( <i>assumes 3% increase each year</i> )   | \$125,000       | \$128,750       | \$132,612                    | \$136,590                    | \$140,688   |
| <b>Est. Fellowship Expense</b> ( <i>beginning year three; assumes blend of STEM/HSS students and 6% tuition increase</i> ) |                 |                 | \$2,520,550<br>(25 students) | \$4,032,880<br>(40 students) | \$5,041,100<br>(50 students -est. steady state level) |
| <b>Total Annual Budget (est.)</b>  | \$6,125,000     | \$6,128,750     | \$8,653,162                  | \$10,169,470                 | \$11,181,788  |

An endowment of approximately \$265M would be required to fund the \$11,181,788 steady-state level (estimated 4.2% annual payout).

**Level Three:****50 fellows w/2 years of fellowship support/\$5M in faculty grants**Campuses/departments are required to offer an additional 2 years of support

| <b>Expense</b>   | <b>Year One</b> | <b>Year Two</b> | <b>Year Three</b>            | <b>Year Four</b>             | <b>Year Five +</b>                                    |
|--|-----------------|-----------------|------------------------------|------------------------------|---|
| <b>Faculty Grants</b>  | \$5,000,000     | \$5,000,000     | \$5,000,000                  | \$5,000,000                  | \$5,000,000   |
| <b>Administrative Costs</b> ( <i>assumes 3% increase each year</i> )   | \$125,000       | \$128,750       | \$132,612                    | \$136,590                    | \$140,688   |
| <b>Est. Fellowship Expense</b> ( <i>beginning year three; assumes blend of STEM/HSS students and 6% tuition increase</i> ) |                 |                 | \$2,520,550<br>(25 students) | \$4,032,880<br>(40 students) | \$5,041,100<br>(50 students -est. steady state level) |
| <b>Total Annual Budget (est.)</b>  | \$5,125,000     | \$5,128,750     | \$ 7,653,162                 | \$ 9,169,470                 | \$ 10,181,788   |

An endowment of approximately \$243M would be required to fund the \$10,181,788 steady-state level (estimated 4.2% annual payout).

**Level Four:****100 fellows w/1 year of fellowship support/\$5M in faculty grants**Campuses/departments are required to offer an additional 3 years of support

| <b>Expense</b>   | <b>Year One</b> | <b>Year Two</b> | <b>Year Three</b>            | <b>Year Four</b>             | <b>Year Five +</b>                                     |
|--|-----------------|-----------------|------------------------------|------------------------------|--|
| <b>Faculty Grants</b>  | \$5,000,000     | \$5,000,000     | \$5,000,000                  | \$5,000,000                  | \$5,000,000  |
| <b>Administrative Costs</b> ( <i>assumes 3% increase each year</i> )   | \$125,000       | \$128,750       | \$132,612                    | \$136,590                    | \$140,688  |
| <b>Est. Fellowship Expense</b> ( <i>beginning year three; assumes blend of STEM/HSS students and 6% tuition increase</i> ) |                 |                 | \$2,659,750<br>(50 students) | \$4,255,600<br>(80 students) | \$5,319,500<br>(100 students -est. steady state level) |
| <b>Total Annual Budget (est.)</b>  | \$5,125,000     | \$5,128,750     | \$7,792,362                  | \$ 9,392,190                 | \$ 10,460,188  |

An endowment of approximately \$250M would be required to fund the \$10,460,188 steady-state level (estimated 4.2% annual payout).

**Level Five:****75 fellows w/1 year of fellowship support/\$5M in faculty grants**

Campuses/departments are required to offer an additional 3 years of support

| Expense  | Year One    | Year Two    | Year Three                   | Year Four                    | Year Five +   |
|--|-------------|-------------|------------------------------|------------------------------|---|
| <b>Faculty Grants</b>  | \$5,000,000 | \$5,000,000 | \$5,000,000                  | \$5,000,000                  | \$5,000,000   |
| <b>Administrative Costs</b> ( <i>assumes 3% increase each year</i> )   | \$125,000   | \$128,750   | \$132,612                    | \$136,590                    | \$140,688   |
| <b>Est. Fellowship Expense</b> ( <i>beginning year three; assumes blend of STEM/HSS students and 6% tuition increase</i> ) |             |             | \$2,021,410<br>(38 students) | \$3,191,700<br>(60 students) | \$3,989,625<br>(75 students -est. steady state level) |
| <b>Total Annual Budget (est.)</b>  | \$5,125,000 | \$5,128,750 | \$7,154,022                  | \$ 8,328,290                 | \$ 9,130,313  |

An endowment of approximately \$218M would be required to fund the \$9,130,313 steady-state level (estimated 4.2% annual payout).

**Level Six:****50 fellows w/1 year of fellowship support/\$5M in faculty grants**

Campuses/departments are required to offer an additional 3 years of support

| Expense  | Year One    | Year Two    | Year Three                   | Year Four                    | Year Five +   |
|--|-------------|-------------|------------------------------|------------------------------|---|
| <b>Faculty Grants</b>  | \$5,000,000 | \$5,000,000 | \$5,000,000                  | \$5,000,000                  | \$5,000,000   |
| <b>Administrative Costs</b> ( <i>assumes 3% increase each year</i> )   | \$125,000   | \$128,750   | \$132,612                    | \$136,590                    | \$140,688   |
| <b>Est. Fellowship Expense</b> ( <i>beginning year three; assumes blend of STEM/HSS students and 6% tuition increase</i> ) |             |             | \$1,329,875<br>(25 students) | \$2,127,800<br>(40 students) | \$2,659,750<br>(50 students -est. steady state level) |
| <b>Total Annual Budget (est.)</b>  | \$5,125,000 | \$5,128,750 | \$ 6,462,487                 | \$ 7,264,390                 | \$ 7,800,438  |

An endowment of approximately \$186M would be required to fund the \$7,800,438 steady-state level (estimated 4.2% annual payout).

**STRATEGIC INTERSEGMENTAL COMMITMENT - VALUE TO THE STATE:**

In funding or securing resources for this effort the Regents of the University of California and the UC Office of the President will strategically and boldly support CSU and UC's stated commitment to diversity, equity and inclusion. Providing resources for faculty to help fulfill that commitment is critical to impacting diversity within the academic pipeline. This strategy will allow considerable flexibility to make the initiative appealing and as effective as possible for each PI/department. Each project is responsible for coordinating its department/campus-based program and efforts and is

free to collaborate with institutions as it deems appropriate. This effort will help position UC and CSU to put forth a coordinated effort to meet the state and nation's workforce needs for diverse advanced degree holders. With appropriate support, the effort could prove to be a model effort on behalf of higher education in California.

Central resources will be necessary to support general program outreach and marketing, funding transfer oversight and overall initiative management, particularly as the program gets underway, in order to establish it as a cornerstone commitment for UC and CSU. UCOP, in partnership with campuses, may also play a role in supporting systemwide or regional events, particularly as both the UC-HSI-TCU and UC-HBCU Initiatives develop. The UC-HSI-TCU Initiative will build on and learn from the early successes of the UC-HBCU Initiative, which, as of Fall 2014, will have enrolled 13 PhD students after only two summers of hosting HBCU research interns.

Total enrollment and new enrollment for both Latino and American Indian doctoral students at UC have essentially been flat for the last five years (averaging 7.5% for Latinos and 0.8% for American Indians). During the 5-year period from 2007-08 through 2011-2012 Latinos were awarded 6% of all academic and professional doctorates at UC while American Indians averaged 0.5% of those awarded academic and professional doctorates during that period... **we can do better** and this initiative is a mechanism to do so.

## University of California

### Historically Black Colleges and Universities Initiative

---



The [UC-HBCU Initiative](#) seeks to increase the number of HBCU graduates in UC PhD programs by investing in relationships between UC faculty and Historically Black Colleges and Universities (HBCUs). Grants are competitively awarded to UC faculty members to host HBCU student summer research interns and facilitate faculty research collaborations and other educational activities that serve the goals of the initiative.

UCOP offers both one-year awards (Summer Research Internship Grant) and three-year awards (Summer Research and Graduate Admissions Pathways Grant). Projects for each grant type provide a summer research experience for HBCU scholars. The three-year Summer Research and Admission Pathways grant encourages faculty to develop long-term efforts within their program or department to create an inclusive environment more conducive to increasing the enrollment of HBCU graduates in UC PhD programs.

In addition to faculty grants, a critical component of the UC-HBCU Initiative is ensuring competitive multi-year funding packages to former interns of the UC-HBCU Initiative that are admitted to UC PhD programs.

Launched in 2011, the UC-HBCU Initiative is managed by Graduate Studies in the UCOP Office of Research and Graduate Studies (ORGS). Their work on the Initiative includes: UC faculty outreach and support, proposal review oversight/ expertise, grant administration and stewardship, fellowship administration, communication strategies and exposure, HBCU outreach, Initiative participant and UC student support and UC campus coordination and collaboration.

#### PROBLEM:

While a permanent annual budget allocation of \$1M was established by the Provost to fund the faculty grants portion of the Initiative, **there are no permanent funds allocated to ensure competitive funding support offers to talented UC-HBCU Initiative participants that are admitted to UC PhD programs.** These scholars are highly recruited, and funded, by top-tier competitor institutions.

In 2013 President Napolitano committed temporary short-term resources to offer cost-share fellowships in collaboration with the campuses (UC offers two years of fellowship support at the department's competitive level and requires the campus to package the student with *at least* 2 additional years of support thus ensuring a competitive multi-year offer). For the fall 2014 admission cycle this meant that UC could guarantee competitive funding offers to *any* of the UC-HBCU former interns that were admitted to UC PhD programs. UC admitted 7 of these students into PhD programs; all 7 chose to accept UC's admission offer and are now enrolled at UC. These are all outstanding students with extremely impressive options, and funding offers, for graduate school. Two UCSD newly enrolled UC-HBCU Fellows are also NSF Fellows in bioengineering. Guaranteeing funding is critical to competing to enroll all talented PhD students; it is particularly important in enrolling a culturally and socioeconomically diverse graduate population.

The lack of long-term fellowship funding means that UC faculty strategically building partnerships and cultivating long-term relationships cannot maximize their efforts as they are unable to inform faculty and students at HBCUs that if students participating in this initiative are admitted they *will* receive a competitive funding package to support their PhD studies at UC. Without such a commitment UC is at a notable disadvantage in encouraging and enrolling HBCU scholars. UC's competitor institutions have a history of maintaining a more visible and engaged presence within the HBCU community and offer competitive funding packages. UC is not fully maximizing its investment in the relationships with HBCU faculty and the research preparation offered to their students if we are not prepared to proactively fund and recruit admitted scholars.

**OPPORTUNITY:**

**UC has a strong commitment to cultivating a stimulating intellectual environment reflective of society.** This includes maintaining pathways to graduate education for scholars from historically underrepresented populations. African Americans/Blacks continue to be underrepresented in UC graduate programs. At UC, the five-year average (2009-2013) for enrollment of this population in academic doctoral programs is 2.7%. **The purpose of the initiative is to increase the number of scholars from HBCUs enrolling in and completing UC academic doctoral programs.** While the overall goal of the UC-HBCU Initiative is to improve PhD enrollment of African Americans at UC, it is designed to support *any* HBCU student selected, based on faculty criteria, irrespective of race, ethnicity, national origin, sex or gender identity.

The UC-HBCU Initiative has already shown early signs of success. **After only two summers of hosting UC-HBCU interns (from undergraduates just finishing their first year of study to master's level students) UC has already enrolled 13 PhD students as a direct result of this initiative.** All of these students received competitive funding packages by UC. Given the small numbers of African American/Black students pursuing PhDs at UC this is a very promising and impressive start. **UC has an opportunity to build on this effort.** Making the public commitment to fund any of these scholars admitted to UC PhD programs will greatly assist UC's branding and marketing in support of the UC-HBCU Initiative. Funding commitments are critical in attracting these students to UC. HBCU faculty have tremendous influence in advising their students; thus demonstrating UC's commitment and support in this area is critical to UC's long term success with this effort.

**PROPOSAL:**

UC should commit to offering 2 years of fellowship support (to be coupled with at least 2 years of campus/department support) to any former UC-HBCU Initiative intern admitted to any UC PhD program. The estimated costs involved would be approximately \$1.5M a year, which would allow UC to support approximately 15 UC-HBCU Fellows a year. However it is very important that the funds are not budgeted annually but allocated over a longer period of time to account for fluctuations in the annual application and admission rates. Thus \$7.5M should be allocated for 5 years and, with continued success of the Initiative, should be reallocated at 5 year intervals.

This would allow UC to proactively highlight this commitment not only to the HBCU community but within UC as well. As more of the UC graduate community strives to offer multi-year competitive funding packages, knowledge of this funding commitment will help departments construct attractive offers for admitted students. The ability to guarantee multi-year competitive funding offers will help increase the number of UC-HBCU interns that choose to apply to UC and ultimately attend. Thus it is anticipated that current enrollment numbers will continue to improve.

**ANNUAL COSTS:**

The estimated costs involved would be approximately \$1.5M a year, which would allow UC to support approximately 15 UC-HBCU Fellows a year. However it is very important that the funds are not budgeted annually but allocated over a longer period of time to account for fluctuations in the rate of application by interns as well as stronger admission years. Thus \$7.5M should be allocated for 5 years and, with continued success of the Initiative, should be reallocated at 5 year intervals. An endowment of approximately \$36M would be required to fund \$1.5M in awards annually (estimated 4.2% annual payout); there may be a need for payment schedule adjustments, to account for enrollment fluctuations, should resources be drawn from an endowment.

Experience thus far has shown that committed long-term funding for both faculty grants *and* student funding are critical components of the Initiative's success. While the grants will bring students to UC for a summer and enhance their competitiveness for graduate study, only guaranteed multi-year funding packages will help them choose UC to pursue their PhD.



## **UC LEADS – Summer Enrichment Awards: A UC PhD Recruitment Tool**

### **PROBLEM:**

UC needs to be more effective at recruiting talented underrepresented STEM (science, technology, engineering and mathematics) scholars, completing UC undergraduate degrees, into its PhD programs. These students represent a talented cohort of scholars in which UC already has a tremendous investment. The state and nation has a great need to ensure strong representation of diverse scholars in STEM fields.

### **OPPORTUNITY:**

UC has a model program that can be maximized to encourage retaining more of our talented diverse scholars to pursue a PhD at UC. The UC Leadership Excellence through Advanced Degrees (UC LEADS) program was proposed by the graduate deans and instituted in 1999. It offers UC juniors and seniors academic support and research experiences to ensure that they are well prepared for graduate school. Students conduct research on their home campus during the academic year and on another UC campus for one summer. Scholars also participate in the annual UC LEADS Symposium at which they present their research and learn more about the graduate school application process. UC LEADS is supported by state provided Student Academic Preparation and Education Partnerships funds, which are matched by campus funds. The annual Symposium is funded by a gift from the Koret Foundation.

The goal of the UC LEADS program is to educate California's future leaders by preparing promising students for advanced education in STEM (science, technology, mathematics and engineering) disciplines. The program is designed to identify upper-division undergraduate students with the potential to succeed in these disciplines, but who have experienced conditions that have adversely impacted their advancement in their field of study. Another program objective is to keep the most promising students within the UC family. The second summer research placement addresses this goal explicitly by placing students at a UC campus other than their home campus.

UC LEADS does extremely well in supporting underrepresented STEM scholars: 79% of all participants in the 2000-02 – 2008-10 cohorts were from underrepresented groups (underrepresented minorities and/or women). Thus, targeting this program for recruitment directly supports the diversity mission of the University and President Napolitano's commitment to improve diversity within the academic pipeline.

Currently there is no special fellowship to help recruit these talented scholars. A fellowship designed specifically for UC LEADS would help increase the number of our students, from diverse backgrounds, that remain at the University of California to pursue graduate education in STEM.

### **PROPOSAL:**

UC should offer an attractive recruitment award to all UC LEADS Scholars who are admitted to a UC PhD STEM program. The award is designed to improve the competitiveness of UC's current funding offers for this highly talented, UC-nurtured group of STEM scholars (thus improving systemwide yield rate). The program would provide *any* UC LEADS Scholar who matriculates into a UC STEM PhD program a UC LEADS Summer Enrichment Award (SEA). The award will provide enrolled PhD students with a summer stipend of \$6,000 each summer for up to 5 summers.

UC must leverage the impact of UC's premier STEM graduate school preparation program by providing financial incentives to UC undergraduates from diverse backgrounds who choose to pursue their PhD within the UC system. The **UC LEADS Summer Enrichment Award (SEA)** will offer summer support for

all UC LEADS Scholars who enroll in a UC PhD STEM program (Scholars maintaining adequate progress will receive summer support for up to 5 summers).

Historical program data (cohorts from 2000-02 to 2008-10, totaling 513 students) demonstrates that UC has done well in attracting those students that are pursuing a PhD: 56% of students from those cohorts that went on to pursue a STEM doctorate have done so at a UC (of those pursuing Master's degrees, 46% did so at UC). UC has been able to track 73% of students from these cohorts. Of those, 44% went into PhDs programs, 22% pursued Master's degrees, 9% went to medical school, and 25% pursued doctorate degrees outside of STEM (including law, dentistry, education, public health, and business).

UCLA has been most successful in enrolling UC LEADS Scholars into its PhD programs with 19 from the included cohorts. "Unfortunately," the second-place campus for enrollment of UC LEADS Scholars pursuing a PhD is not a UC campus. Stanford University has enrolled 15 UC LEADS Scholars in its PhD programs. Both UCI and UCB are doing well, having each enrolled 12 UC LEADS Scholars into their campus PhD programs.

Although the data are still being compiled and analyzed, it appears that in more recent years, a smaller pool of UC LEADS graduates have pursued STEM PhDs, a trend we would like to see reversed. If UC is able to increase the percentage of those pursuing PhDs from 44 to 50% that would impact overall numbers but to further advance efforts UC must increase the percentage of scholars that choose to attend UC. Based on the cohorts examined, UC enrolls 56% of those pursuing PhDs. Given the great investment that UC has made in these scholars and the national need for STEM doctorates, UC should establish an ambitious goal of enrolling 70% of UC LEADS Scholars pursuing PhDs (graduation data fluctuates, but this would be approximately twenty students per year). A distinct summer fellowship to enhance their overall funding package should help attract more UC LEADS Scholars to UC.

Key goals of this summer fellowship program will be to increase UC awareness of these talented students, encourage departments to look closely at UC LEADS applicants and to assist in recruiting students that have been accepted.

#### **ANNUAL COST:**

The program would provide *any* UC LEADS Scholar who matriculates into a UC STEM PhD program a UC LEADS Summer Enrichment Award. The award will provide enrolled PhD students with a summer stipend of \$6,000 for up to 5 summers. The first year is awarded following the completion of year one. However if the scholar participates in a campus-affiliated bridge program the summer stipend award can begin prior to year one enrollment; this is at the campus' discretion. Subsequent years require adequate progress and planned enrollment in the following fall term. *This award incentive seeks to enhance the competitiveness of a campus multi-year funding offer (a multi-year funding package is expected as part of the scholar's admission offer).* While UC LEADS Scholars admitted to competitive PhD programs typically receive multi-year funding offers, summer support is often not included or is limited. Thus guaranteed summer fellowship support provides an attractive competitive edge for UC in recruiting even more of these scholars to UC. It also affords them greater summer flexibility for the advancement of their work. It may offer a tangible difference from what other institutions typically offer and that can be appealing to potential UC LEADers considering UC. It is also something easy to highlight and market to students.

Once the fellowship program is in full steady state operation (supporting 5 cohorts annually) the estimated annual fellowship costs will be up to \$600,000. Program administration expenses, of \$200,000, account for processing and accountability, as well as much needed enhanced outreach and yield efforts aimed at UC LEADS Scholars. **The anticipated \$800,000 annual cost is low given that it focuses on enhancing what should be a campus multi-year funding offer. Thus it is critical that these**

summer fellowships are funded with “new” money and the campuses are not required to fund this new initiative. If funded via an endowment an estimated principle of \$19.1M would be needed for an annual \$800K payout (payout rate estimated at 4.2%). Annual costs will not reach full expense output until year 5 of operation. While cost example B offers a lower funding allocation, it is recommended that UC commit to funding 20 new UC LEADS Scholars each year. This will ensure UC’s ability to allocate resources to enroll as many admitted UC LEADS scholars as likely possible. We should make UC the first choice option for our UC-trained diverse STEM students. Let’s finish the job we have started; **UC LEADS – Summer Enrichment Awards** can help UC be more competitive in advancing the STEM academic pipeline.

#### UC LEADS – Summer Enrichment Award

##### COST EXAMPLE A:

**\$6,000 X 20 students = \$600,000 per cohort; \$30,000 per student (+ administrative costs)**

|                | Summer 1 | Summer 2 | Summer 3 | Summer 4 | Summer 5     | Summer 6 |
|----------------|----------|----------|----------|----------|--------------|----------|
| Cohort 1       | 120,000  | 120,000  | 120,000  | 120,000  | 120,000      |          |
| Cohort 2       |          | 120,000  | 120,000  | 120,000  | 120,000      | 120,000  |
| Cohort 3       |          |          | 120,000  | 120,000  | 120,000      | 120,000  |
| Cohort 4       |          |          |          | 120,000  | 120,000      | 120,000  |
| Cohort 5       |          |          |          |          | 120,000      | 120,000  |
| Cohort 6       |          |          |          |          |              | 120,000  |
| Administration | 100,000  | 150,000  | 200,000  | 200,000  | 200,000      | 200,000  |
|                |          |          |          |          | STEADY STATE |          |
|                | Year 1   | Year 2   | Year 3   | Year 4   | Year 5       | Year 6   |
| TOTAL          | 220,000  | 390,000  | 560,000  | 680,000  | 800,000      | 800,000  |

#### UC LEADS – Summer Enrichment Award

##### COST EXAMPLE B:

**\$6,000 X 16 students = \$480,000 per cohort; \$30,000 per student (+ administrative costs)**

|                | Summer 1 | Summer 2 | Summer 3 | Summer 4 | Summer 5     | Summer 6 |
|----------------|----------|----------|----------|----------|--------------|----------|
| Cohort 1       | 96,000   |          |          |          |              |          |
| Cohort 2       |          | 96,000   | 96,000   | 96,000   | 96,000       |          |
| Cohort 3       |          |          | 96,000   | 96,000   | 96,000       | 96,000   |
| Cohort 4       |          |          |          | 96,000   | 96,000       | 96,000   |
| Cohort 5       |          |          |          |          | 96,000       | 96,000   |
| Cohort 6       |          |          |          |          |              | 96,000   |
| Administration | 90000    | 135000   | 180000   | 180000   | 180000       | 180000   |
|                |          |          |          |          | STEADY STATE |          |
|                | Year 1   | Year 2   | Year 3   | Year 4   | Year 5       | Year 6   |
| TOTAL          | 186,000  | 327,000  | 468,000  | 564,000  | 660,000      | 660,000  |

### **Summer Bridge Programs for Graduate Students:**

Overall cost reported (2014): \$814,516  
Number of Students Served (2014 est.): 314  
Cost/student (2014): \$2594

#### ***Scale Up* Proposals:**

Overall Request: \$1,863,406  
Additional Students Served: 296  
Cost per student: \$6295

Combined (Current + Proposed)  
Cost: \$2,677,922  
Total Students Served: 610  
Cost per student: \$4390

### **Berkeley:**

None overseen by the Graduate Division. Two exist on campus: School of Public Health Diversity Summer Preparatory Seminar (~125 enrollment); Master of Development Practice “Boot Camp” (~25 enroll). No costs were provided.

### **Davis:**

#### **NIH Initiative for Maximizing Student Development:**

Curriculum: Fellows spend seven weeks conducting research in the laboratory of a faculty member and meeting weekly as a group. The research experience provides an early and additional laboratory rotation beyond that required by each Fellow’s specific graduate program. The weekly meetings provide an introduction to graduate study at UC Davis, orientation to academic resources on campus, mentoring tips for success as a doctoral student, and written and presentation activities

Eligibility/Enrollment: Targeted toward URM students from one of 12 NIH connected graduate groups. 10 Students in 2014; 9 funded

Cost: per student \$4606. Total cost per summer: \$46,062.

#### ***Scaling Up:***

#### **UC Davis Graduate Summer Advantage Program (new)**

UC Davis proposes to build on our successful model created under an earlier AGEF grant to institutionalize a summer bridge program for doctoral students in all academic programs. The Office of Graduate Studies would support up to 12 program participants with funding from UCOP.

#### **Participant Benefits:**

Stipend: \$4,000 for the ten-week program.  
Housing: Additional \$2,000 housing subsidy.  
Program: Participants would be paired with a faculty research mentor for the ten-week period, which requires a time commitment by the faculty mentor. If a student needs health insurance, the program would be expected to cover that cost (\$1,144).

#### **Proposed Program Cost:**

|   |                  |
|---|------------------|
| Stipends:                               | \$48,000         |
| Housing Subsidy:                        | \$24,000         |
| Staff (50% w/ benefits):                | \$40,000         |
| Workshop Supplies:                      | \$ 5,000         |
| <b>Total Program Cost:</b>              | <b>\$117,000</b> |
| <b>Total number of students served:</b> | <b>48</b>        |

### Proposed Program Design

To better recruit and retain diverse and academically talented graduate students, UC Davis proposes to a summer bridge professional development program for incoming underrepresented graduate students interested in pursuing the Ph.D. degree. This program builds on the successful model created under a previous NSF AGEP grant. The program would be open to students in all academic disciplines.

This Graduate Summer Advantage Program (GSAP) would consist of a ten-week mentored research experience, a scientific writing workshop and weekly seminars during the summer prior to the first year of graduate study. The seminars focus on topics such as introduction to graduate study at UC Davis, developing a research project, working in a research team, effective use of electronic citations, publications and peer review, oral communication, scholarly integrity and developing a successful fellowship application. Faculty mentors would also meet monthly for workshops on effective mentoring techniques and to share their experiences working with students in the program. At the end of each summer, the GSAP scholars will present the results of their research. Many GSAP scholars will become strong candidates for continuing support through external fellowships NSF Graduate Research Fellowship, Ford Foundation, Howard Hughes, EPA STAR, etc.).

The Graduate Summer Advantage Program will serve the combined goals of recruitment and retention of underrepresented students by offering additional financial support, helping build community outside of the discipline and providing role models for success. In addition, the involvement of faculty mentors has a lasting impact on the culture of individual graduate programs and the campus as a whole. GSAP participants are nominated by their programs during the admissions process and selected by the faculty steering committee.

### Irvine:

Competitive Edge 8-week summer pre-entry program designed to give diversity MFA and doctoral students a head start (Originally funded in part by Dept. of Education grant, now expired).

Curriculum/Structure: Students are offered a range of workshops to help them with the transition to graduate school; for example, How to Find and Receive Extramural Funding, which has been quite successful as 33% of the 2013 Competitive Edge cohort received the NSF GRFP fellowship. Students are matched with a peer mentor who is an advanced graduate student in their program; the peer mentors support the students as they transition into their new graduate programs. Students also receive priority early move-in to their graduate housing for the academic year.

Enrollment/Eligibility: This program now in its 15<sup>th</sup> year and serves between 25-35

students per year. All of the students meet the UC definition of diversity and about 70% are URM.

Cost: The students receive a \$5,000 stipend as well as summer SHIP. The estimated cost per student is \$6,700. Total Cost: up to \$234,000

#### *Scaling Up:*

With additional funding from President Napolitano, we would be able to keep the 12 slots for which original Dept. of Education funding has expired, and open up an additional 15 slots. This would bring the total number of student participants to 40.

#### **Funding Request:**

Stipend: \$5,000 summer stipend per student. Total cost: \$135,000.

Summer SHIP: \$1,300 per student. Total cost: \$35,100.

Advanced Graduate Student Peer Mentor \$500 per student. Total cost: \$13,500.

Programing costs, including Research Symposium, Faculty Mentor BBQ, Farewell Dinner, etc., @ \$500 per person. Total cost: \$13,500.

Two GSRs at 50% to help with the administration of the program (\$5,300 per GSR). Total cost: \$10,600.

Outside speaker costs (travel \$500 and honorarium \$1,000). Total cost: \$1,500.

**TOTAL FUNDING REQUESTED: \$209,200**

**Additional Students Served: 15**

#### **Los Angeles:**

**UCLA Competitive Edge:** Six-week program for newly admitted, entering doctoral students in the fields of science, technology, engineering and mathematics (STEM) with a strong interest in pursuing a faculty or research position.

**Curriculum/Structure:** The objective is to provide awardees with research and professional development experiences to enhance their success in UCLA STEM doctoral programs. Competitive Edge provides faculty-guided research and mentoring, as well as academic and professional workshops

**Enrollment/Eligibility:** Individuals admitted to STEM doctoral programs who are classified as underrepresented in accordance with the NSF definitions (i.e., African Americans, Hispanics, American Indians, Alaska Natives, Native Hawaiians or other Pacific Islanders) criteria or who demonstrate significant contributions to diversity are eligible. In 2014 there were 18 students.. Since 2004 a total of 124 students have participated

Cost: \$6000/student for a total cost of \$108,000. An additional \$1500 stipend was provided to an adjunct faculty member who ran a weekly journal club.

#### **Scaling up**

We are very interested in expanding this successful program to other disciplines. This could be accomplished partially through departmental contributions, but significantly through support from the UC Office of the President. Our goal would be to expand to a cohort of 50 students who would be divided into two or three groups for some activities, such as journal clubs. Of these UCLA would fund ~20 and the Office of the President ~30.

#### **Funding Request**

Stipend: \$6,000 per student. Total request: \$180,000

Summer UC SHIP: could be covered by students or centrally (\$1300 per student, \$39,000 total)

Programming costs: \$1,000 per student, total \$30,000

Program staffing: Additional funding would be great, but we can run the program with existing staff.

**TOTAL FUNDING REQUEST: \$210,000 without UC SHIP; \$249,000 with UC SHIP**

**Additional Students Served: 32**

### **Merced:**

No formal summer bridge to graduate school programs. However, incoming students may be appointed during the summer before matriculation in GSR roles.

### *Scaling Up*

#### **Program Design:**

The Ph.D. Summer Advantage Program allows incoming doctoral students from historically underrepresented backgrounds to begin their graduate education at UC Merced the summer before the fall semester of graduate study.

This eight-week mentored research experience and weekly seminars will provide participants the intellectual, professional and social introduction to UC Merced while preparing them for successful transition to graduate school.

The seminar will include focused topics such as working on a research team, transition and resources for graduate students (on and off campus), faculty mentor relationship, funding opportunities, publications and peer review, scientific integrity, time management & study strategies, writing research papers, work/life balance, etc. In return, participants will receive faculty & peer mentorship, socialization opportunities and the advantage of early transition into a research university setting. At the end of the summer, participants will present the results of their research during UCM's summer research symposium.

| <b>Budget Proposal</b>  |          |
|---|----------|
| Coordinated by UCM Graduate Staff   | \$0      |
| Administrative Support (limited)  | \$3,000  |
| Graduate Student Peer Coordinator   | \$4,026  |
| Summer Stipend 20 @ \$4026 (8 weeks)  | \$80,520 |
| Eight-Week Summer Seminar Series @ meals (600 each), speakers (1000), facilities (1,000), etc.) | \$7,000  |
| Student Socialization & Network Activities (includes field trip & end of summer banquet)        | \$5,000  |
| Student Housing allowance 20 @ 500 each   | \$10,000 |

|  |                     |
|--|---------------------|
| Poster Presentation Symposium (posters, reception)           | \$4,000             |
| Research Allocation 20 @ 500 (supplies for research)         | \$10,000            |
| Miscellaneous (promo items, supplies, etc.)                  | \$3,000             |
| <b>TOTAL FUNDING REQUESTED</b><br><b>Students Served: 20</b> | <b>\$126,546.00</b> |

### **Riverside:**

Grad Edge/Jump Start: 8 week intensive summer program for pre-entry Ph.D. students in STEM fields.

Curriculum/Structure: Students must have a faculty mentor for the program. Math/statistical analysis boot camp; professionalization skills workshops, grant writing course (NSF/GRFP proposal required);

Eligibility/Enrollment: Diversity profile or nomination by program. 90% of 2014 cohort match diversity profile. 80% were URM students. Total enrollment for 2014: 70; participation since 2009—233 students.

Cost: \$5000 stipend per student. Total cost per student \$5400;

Total cost for program: \$345,000.

### *Scaling Up:*

UC Riverside's goal is to increase participation in its Grad Edge/Jump Start program to 200 incoming Ph.D. students in each cohort. Cost would be \$6000/student (anticipated 2015 per student cost).

**TOTAL FUNDING REQUEST: \$780,000**  
**Students Served: 130**

### **San Diego:**

Competitive Edge Program: 8 week summer program.

Curriculum/Structure: In addition to the research experience, participants are required to attend workshops to acclimate them to the university environment. Workshop facilitators are members of the UC San Diego community and serve as faculty, staff or continuing graduate students in various academic fields. In addition to the workshops, participants are expected to attend an orientation and a luncheon at the conclusion of the program. Sample workshop topics include: Ethics in Research, Public Speaking for Graduate Students, Transitioning into Graduate School, Career Paths for Graduate Students, Funding and Fellowships.

Eligibility/Enrollment: Ph.D. students. Merit and diversity based. Must be U.S. citizens, permanent residents, or AB 540-qualified. 83 students served since 2006; 2014 cohort had 18 students.

Cost: Sharing plan with programs. Graduate Division provides \$22,000/year. Students receive \$3000 in stipend for program (divided between Grad. Division and students' programs).

### *Scaling Up*



With additional funding from President Napolitano, the Competitive Edge program would be able to expand and better serve the students, without altering the existing model.

Increase the stipend to \$5000 to be on par with our UC counterparts for 18 participants fully supported centrally: \$90,000 (would broaden the range of departments that could participate)

Broaden the existing funding workshops to target some or all of the following: National Science Foundation Graduate Research Fellowship Program, Ford Foundation, Hertz Graduate Fellowship, and Jacob K. Javits Fellowship: \$4000.

Workshop supplies and materials: \$2000.

Incremental Graduate Division costs for the expanded program: \$74,000.

In addition, we are in the planning stages of a major new housing project. Once this is open for occupancy, we could offer additional SHORE spots and thereby likely double the size of our bridge program, at an additional cost of \$96,000. This amount could be offset with some cost-sharing by departments.

**TOTAL FUNDING REQUEST: \$170,000**  
**Total students: 18**

### **San Francisco:**

IMSD-NIGMS Summer Research Rotation: In spring 2014, UCSF was granted a competitive renewal for the NIGMS Initiative for Maximizing Student Diversity (IMSD) Program (NIH R25; UCSF has run an IMSD program for 16 years).

Curriculum/Structure: During the SRR students are placed in the laboratory of PI who provide intensive mentoring, and in collaboration with the graduate program director, help the student to design a project, set goals for the rotation (e.g. design the research question and project, learn and master specific laboratory techniques, etc.).

Eligibility/Enrollment: 6 students were selected for the program. Faculty program directors from each of the graduate programs nominated URM students that would benefit from the SRR.

Cost: Each student received a \$600 weekly stipend and \$4,000 housing allowance. Three students completed 11-week rotations (\$10,600 each); 2 students completed 10-week (\$10,000 completed 11-week rotations (\$10,600 each); and one student completed a 4-week rotation (total cost \$4,000 using prorated stipend and housing allowance).

Four of the six students needed summer health insurance policies; these were purchased at a cost of \$913.50 per student (total cost: \$3654).

Total Program expenditures: \$59,454

Average cost per student: \$9,909

### *Scaling Up:*

With additional funding from President Napolitano, the SRR would be able to serve four additional students (extending the total SRR cohort to 10).

We would continue to serve PhD students in the basic sciences only; and retain the mentored research experience as the central component of the program.

We would increase opportunities for networking and community building among the cohort. We would extend the programming using recommendations from our IMSD Faculty Advisory board and 2014 IMSD fellows and PIs; and would incorporate best practices from other UC campus programs. Specifically we would add professional development and first generation services/success workshops throughout SRR. Administrative costs (including workshop supplies and materials) are anticipated to be \$1200 per student.

Participant benefits would remain the same. For an 11-week rotation, each student would receive \$10,600 in housing and living stipends, and health insurance coverage at \$915 per student.

**TOTAL FUNDING REQUEST: \$50,860**

**Students Served: 4 additional students( @ \$12,715 each).**

### **Santa Barbara:**

#### Summer Workshop for Incoming International Students

Curriculum/Structure: The month-long English Language & American Culture Summer Workshop for International Students strengthens students' conversational and academic skills and helps them adjust to American culture.. Daily English classes are taught by ESL professionals. An introduction to American Culture and Society is taught by a UCSB faculty member.

Eligibility/Enrollment: International Student with ESL needs

Cost: none reported

#### Network Science IGERT (supported by the NSF) Summer Boot Camp

Curriculum/Structure: A two-week boot camp for new trainees right before the beginning of the academic year introduces and refreshes skills around programming, software, and data. The boot camp is structured as follows.

Eligibility/Enrollment: none reported

Cost: none reported

### *Scaling Up*

The UC Santa Barbara Graduate Division proposes to host the Summer Doctoral Research Institute (SDRI), an accelerated research summer bridge program for newly admitted doctoral students from historically underrepresented or educationally disadvantaged backgrounds. This program provides up to twenty participants with the opportunity to begin research and other scholarly activities prior to fall quarter enrollment. In addition to an advanced introduction to their respective programs and the campus culture of UCSB, SDRI scholars enjoy the benefits of early exposure to a professional academic environment. Scholars will receive a \$6,000 summer stipend for ten-week program.

#### **Goals and activities include:**

Providing SDRI scholars with a greater understanding of institutional culture and departmental expectations.

Hands-on mentoring and training that sharpens scholars' research skills and develops their disciplinary fluency.

Understanding and appreciation of scholarly work done across disciplinary boundaries via a multi-disciplinary cohort.

Summer workshop series that provides solid grounding in research methodology, ethics, proposal writing, presentation skills, and work/life balance and prepares scholars to meet and exceed the rigorous demands of graduate study.

Networking and scholarly activities, familiarization with UCSB campus resources, and an introduction to UCSB's Graduate Division and campus administrators.

Skill development and seminar topics may include: disciplinary writing, funding your research, effective grant writing, publishing and presenting research, research ethics, choosing a research advisor, campus support networks and faculty mentoring, and individual research presentations.

### Budget

|  |                  |
|--|------------------|
| Summer Stipend-20 students at \$5,000/student  | \$100,000        |
| Weekly workshop series (refreshments, workshop materials, room rental, speakers)       | \$5,000          |
| Research supplies and related expenses-\$500/student                                   | \$10,000         |
| Networking activities (opening reception, closing lunch, work/life balance activities) | \$2,000          |
| SAOII-Program Coordinator, .25 FTE (salary and benefits)                               | \$16,000         |
| Miscellaneous costs (supplies, program materials)                                      | \$1,000          |
| <b>Total Requested</b><br><b>Students Served 20</b>                                    | <b>\$134,000</b> |

### Santa Cruz:

UCSC's Division of Graduate Studies does not manage any formal summer bridge to graduate school programs. There are several individual programs managed at the departmental, disciplinary, or divisional level as well as grant-funded programs for URM students. Graduate Division does allow student appointments in the summer for new incoming graduate students. We also are a primary sponsor of diversity-related programs providing summer research experiences for undergraduates. These are predominantly in STEM, but with increasing participation in the Social Sciences as well.

### Scaling Up:

UC Santa Cruz has an IMSD program (PI, Prof. Mellissa Jurica, MCD Biology), but presently without a summer bridge component. Our modest aspiration would be to add a two-week pre-matriculation "boot camp" type of bridge program for the 9 students in this program, who are in degree programs related to biomedical science. The components of the summer

bridge program would include orientation to the campus and its resources, community-building exercises, graduate student success programming, sessions on mentoring and being mentored, academic and research integrity, time management and work-life balance discussions, graduate student financial literacy, and a selection of activities from our summer leadership program.

We estimate a cost of \$3000 per student ( $9 \times \$3000 = \$27000$ ), which includes 2 weeks of lodging, per diem costs, and a small stipend (\$500/student). It also accounts for one month of 50% work by an advanced (eg. 5th year) graduate alumnus/alumna of the IMSD or Bridges to the Doctorate program, who will serve as a program coordinator, an instructional stipend for the PI, and administrative and material costs.

**TOTAL FUNDING REQUEST: \$27,000**

**Students served: 9**