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April 11, 2016

The Honorable Mark Leno
Chair, Joint Legislative Budget Committee
1020 N Street, Room 553
Sacramento, California 95814

Dear Senator Leno:

Pursuant to Item 6440-001-0001 of the 2015 Budget Act (AB 93, Chapter 10, Statutes of 2015), Provision 2.1, enclosed is the University of California's report to the Legislature on the *Use of Funds for Targeted Support Services to Increase Systemwide Graduation and Transfer Rates of Low-Income and Underrepresented Student Populations for 2014-15*.

If you have any questions regarding this report, Associate Vice President Debora Obley would be pleased to speak with you. She can be reached by telephone at (510) 987-9223 or by email at Debora.Obley@ucop.edu.

Yours very truly,

A handwritten signature in blue ink that reads "Janet Napolitano".

Janet Napolitano
President

Enclosure

cc: Senate Budget and Fiscal Review
The Honorable Marty Block, Chair
Senate Budget and Fiscal Review Subcommittee #1
(Attn: Ms. Anita Lee)
(Attn: Ms. Cheryl Black)
The Honorable Kevin McCarty, Chair
Assembly Budget Subcommittee #2
(Attn: Mr. Mark Martin)
(Attn: Ms. Amy Rutschow)
Ms. Peggy Collins, Joint Legislative Budget Committee
Ms. Amy Leach, Office of the Chief Clerk of the Assembly
Mr. Jim Lasky, Legislative Counsel Bureau
Mr. E. Dotson Wilson, Chief Clerk of the Assembly
Mr. Daniel Alvarez, Secretary of the Senate

Mr. Michael Cohen, Department of Finance
Mr. Jeff Bell, Department of Finance
Mr. Christian Osmena, Department of Finance
Ms. Maritza Urquiza, Department of Finance
Ms. Tina McGee, Legislative Analyst's Office
Mr. Mac Taylor, Legislative Analyst's Office
Mr. Jason Constantouros, Legislative Analyst's Office
Provost and Executive Vice President Aimée Dorr
Executive Vice President & Chief Financial Officer Nathan Brostrom
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Vice President Pamela Brown
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Associate Vice President and Director Steve Juarez
Executive Director Jenny Kao
Executive Director Kieran Flaherty
Director David Alcocer
Manager Bruce Kennedy
Executive Advisor Marsha Sato

Use of Funds for Targeted Support Services to Increase Systemwide Graduation and Transfer Rates of Low-income and Underrepresented Student Populations for 2014-15

Legislative Report

April 2016



UNIVERSITY *of* CALIFORNIA

UNIVERSITY OF CALIFORNIA

Report on the Use of Funds for Targeted Support Services to Increase Systemwide Graduation and Transfer Rates for Low-Income and Underrepresented Student Populations for 2014-15

The University of California provides the following report in response to Provision 2.1 (AB 93, Chapter 10, Statutes of 2015 of the 2015 Budget Act), which states:

“No later than April 1, 2016, the Regents of the University of California shall report to the Director of Finance and, in conformity with Section 9795 of the Government Code, to the Legislature on its use of these funds for targeted support services to increase systemwide and campus four-year and six-year graduation rates and two-year and three-year transfer graduation rates of low-income and underrepresented student populations.”

Summary

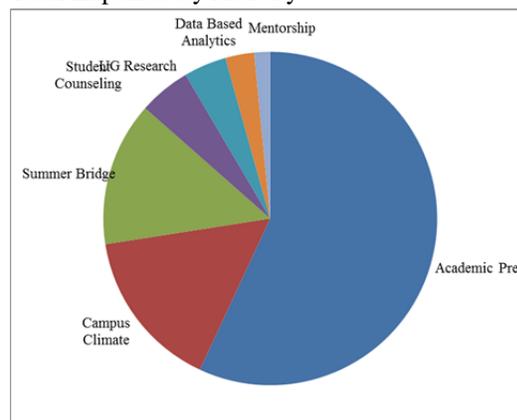
The University of California spent \$86 million in 2014-15 (see Figure 1) to provide support services for its students. The budget language containing the reporting requirement asked that UC focus on State General Funds spent on these services. By agreement with the State in the 1990’s, the University removed all State funding from student services programs. These programs have been funded since then primarily from tuition and fee revenue as well as other sources. Consequently, for this report, UC has included all funds spent on these services in order to show the order of magnitude of support provided and has indicated the proportion of the total that is supported from “core funds” – that is, State General Funds (budgeted in functional areas other than Student Services), Tuition and Student Services Fee revenue – and the proportion supported from all other sources. These funds were used to support the following activities: academic preparation, campus climate, summer bridge programs, student counseling, research opportunities for undergraduates, data-based analytics, and mentorship programs.

Figure 1

Use of Funds for Student Support

<i>(in \$ millions)</i>	TOTAL	%
Academic Prep	\$48.9	57%
Campus Climate	13.4	16%
Summer Bridge	12.0	14%
Student Counseling	4.3	5%
UG Research	3.5	4%
Data Based Analytics	2.4	3%
Mentorship	1.3	2%
TOTAL	\$86.0	100%
Core Funds	\$58.2	68%
Non-Core Funds	27.8	32%
TOTAL	\$86.0	100%

Total Expenses by Activity



Background

The University is committed to achieving excellence through diversity in the classroom, research laboratory, and the workplace. It strives to establish a climate that promotes the academic success of students from all backgrounds, but understands that low-income, first-generation, and underrepresented student populations may have specific challenges. The value of diversity in all aspects of UC's educational programs is core to its mission as a land-grant institution.

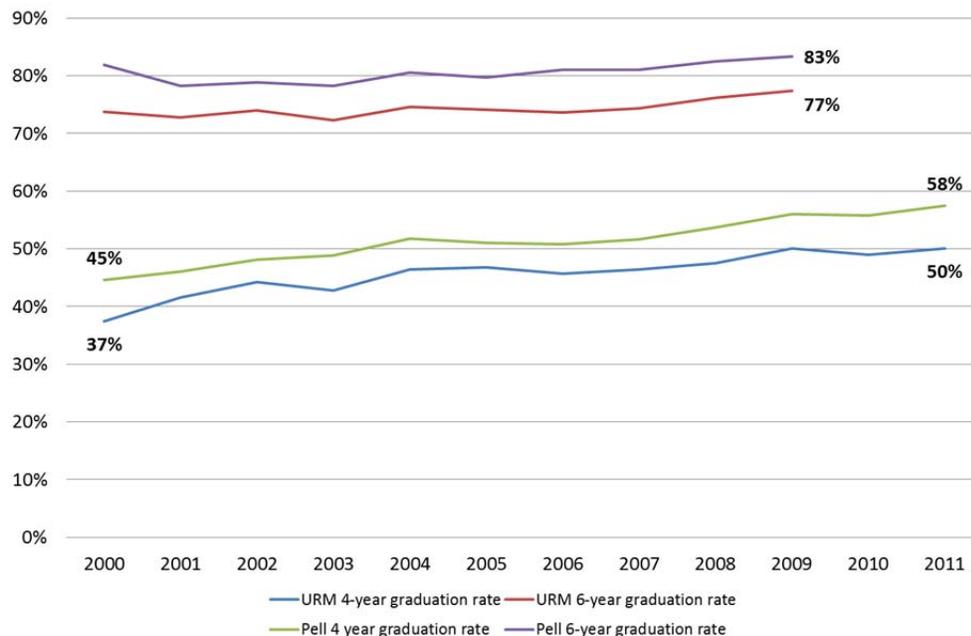
As part of its effort to promote diversity across the system and to track its progress, the University makes public a number of reports, data, and surveys, including an Annual UC Accountability Report, that provide detailed information about efforts to enhance diversity by gender, race, and ethnicity of the University community. Even further detail is available through the University's Information Center. UC also conducts a bi-annual UC Undergraduate Experience Survey (UCUES) which includes questions about campus climate. Survey results are published to inform programs and initiatives about the effectiveness of efforts to promote equity and inclusion. As a result of the survey, UC has been able to identify areas for improvement to address the needs of particular segments of the University student population. By informing and engaging students, UC faculty and staff, and the public about these efforts, the University benefits from feedback so that it can continue to improve and thrive as a public university.

In order to produce this report, the University asked campuses to provide information about all of the support services and programs that would improve graduation rates for low-income and underrepresented minority student populations. The campuses responded by providing lists of programs and services that specifically targeted low-income or underrepresented student populations, and/or offered general support services to students, which, though not specifically targeting these populations, would significantly benefit low-income and underrepresented students. While the types of programs may vary across campuses, most campuses have representative programs in each of the categories discussed in this report.

Use of Funds to Promote Graduation Rates

UC campuses have undertaken a wide range of activities to help promote the long-term academic success of low-income and underrepresented students. Graduation rates have improved over time, particularly four-year graduation rates for Pell Grant recipients and underrepresented minorities (URM) which have both increased by over 13 points over the decade.

Freshman Graduation Rates



The University offers many programs to provide targeted assistance to help ensure undergraduate success. The first step begins with outreach by admissions staff to identify promising high school students, and providing useful information to both high school counselors and students about the application process and financial aid opportunities. Once students are accepted, many campuses offer summer bridge programs which offer orientation sessions, study and writing skills programs, and residential experiences to ease the transition to life in college. Campuses continue to offer support to students through academic preparation programs, individual student counseling, and mentorship opportunities to ensure that students can confidently pursue their studies, achieve academic success, and graduate. Many campuses also offer undergraduate research and faculty mentorship programs to help encourage students to pursue graduate school education. Finally, campuses have invested in data-based analytical and assessment tools so that they can measure outcomes, and monitor progress every year regarding student readiness (math and English), persistence, time to graduation, and graduation rates. Each of these areas is described briefly below.

Academic Preparation (\$48.9 million)

These include programs that support the successful recruitment, transition, retention, and graduation of low-income and underrepresented students. Academic Preparation services typically include additional subject-specific academic instruction, such as health sciences and STEM fields, orientation programs, tutoring services, study skills workshops, and writing and communication programs (e.g. ESL) which are meant to improve the academic performance of students. Academic department advisory programs may provide additional guidance regarding selection of majors, course planning, and other campus resources available to students.

Examples of programs at UC campuses include, but are not limited to, the following:

UC Berkeley – Student Learning Center

Established in 1973, the Student Learning Center is the primary academic support unit on campus delivering innovative peer learning models and services to over 80,000 undergraduates for the past forty years. The Center’s work has been at the forefront of increasing and maintaining the University of California at Berkeley’s excellent retention and graduation rates, which are the highest in the UC system and in the top three of public institutions of higher learning in the nation. The Center provides the following services: interdisciplinary resources for transfer students, writing programs, study strategies, and additional tutoring services for math and statistics, science, and social sciences.

UC Davis – Prep Médico

Preparando Estudiantes Para Ser Medicos, or Preparing Students to Be Physicians, (“Prep Médico” for short) is a multi-faceted initiative that provides scholarships, mentorship and internship opportunities, a residential program, intensive language training, volunteer service opportunities, and hands-on clinical experiences for pre-med and medical students. The goal is to expand diversity in medicine and ultimately increase the number of Latinos who choose to become physicians. Prep Médico is collaboration between The Permanente Medical Group and UC Davis School of Medicine to meet the needs of all patients throughout California, including the rapidly growing Latino community. Prep Médico emphasizes both undergraduate and medical school elements in its program design.

UC Irvine – California Alliance Minority Program (CAMP)

California Alliance Minority Program strengthens the quality and quantity of underrepresented students receiving baccalaureate degrees in Science, Technology, Engineering, and Mathematics (STEM) at the University of California.

UCLA – Academic Advancement Program

AAP Counseling serves as a major student support services unit and employs eight full-time professional academic advisors (referred to as AAP College Counselors). These counselors are trained in all University and College of Letters and Science rules and regulations. Each counselor undergoes two-months of training administered by an academic trainer from College Academic Counseling as well as supplemental training on local services and counseling procedures. Utilizing an approach that is proactive and intrusive, counselors send regular communications to students reminding them about upcoming appointments and encouraging them to reschedule if they miss appointments. They also track students’ academic progress and work individually with those at risk for falling behind to ensure that they maintain or return to good academic standing. The individualized nature of counseling is resource intensive but critical for students who are unfamiliar with academic requirements or who are undertaking complex curricular activities to enhance their academic portfolio. The richness of UCLA offerings can be overwhelming or enticing to students who benefit from clear guidance.

UC Merced – STEM Supplemental Instruction in Gateway Courses

UC Merced institutional data indicate that academic success in entry-level courses, particularly those required for STEM majors, have a significant impact on students' timely progress toward degrees and persistence to graduation. At the same time, STEM majors are increasingly popular among incoming UCM students, despite, in some cases, under-preparation in secondary school for STEM success. Supplemental Instruction has been demonstrated to be a very effective tool in facilitating student success in introductory courses.

UC Riverside - College of Agricultural and Natural Sciences HSI STEM Pathways

U.S. Department of Education grant-supported program to increase transfer rates of STEM majors from community colleges to 4-year institutions (first generation, low-income, Hispanic). Programming includes faculty, staff, and peer mentoring; undergraduate research stipends; community building; and professional development workshops. Funding is provided through U.S. Department of Education's STEM Pathways Project Grant Funds.

UC San Diego – California Louis Stokes Alliance for Minority Participation

The California Louis Stokes Alliance for Minority Participation (CAMP) in Science, Engineering and Mathematics program at UC San Diego provides support and advancement opportunities to students defined as underrepresented by the National Science Foundation (African American, Mexican American, Latino/Hispanic, American Indian, Alaskan Native, or Native Pacific Islander) who are seeking bachelor's degrees in chemistry, physics, cognitive science, biology, other sciences, mathematics, engineering and technology.

UC Santa Barbara – Educational Opportunity Program (EOP)

The Educational Opportunity Program (EOP) is committed to providing a support and information base that validates each student's experience and nurtures a sense of participation, belonging and empowerment. Through mentorship, academic programs, one-to-one counseling/advising, campus student support service referrals and social/cultural programming, we strive to maximize a student's involvement and success in the campus academic community. In addition to assisting students through to graduation, EOP helps motivate and inform students to utilize services to enhance their preparation for the job market and/or graduate/professional school admission. EOP focuses on serving those who are income eligible and first-generation undergraduates.

UC Santa Cruz – Academic Excellence Program (ACE)

ACE General Support (Academic Excellence Program) is an academic support program that is dedicated to increasing the diversity of UCSC students earning bachelors' degrees in science, technology, engineering, and mathematics. ACE is a community of scholars who strive for and commit to academic excellence. Participation in ACE is proven to improve the course grades, retention and graduation rates of students who participate.

Campus Climate (\$13.4 million)

Research shows that students with a lower sense of belonging have lower graduation rates, so efforts to improve campus climate are critical to improving undergraduate outcomes particularly for underrepresented populations.

These campus climate programs, resource centers and activities are designed to provide additional support to promote and facilitate the retention and graduation of a more diverse student body. Examples include African American, Native American, and Chicano/Latino Recruitment & Retention Programs.

UC Davis – African American, Chicano/a Latino/a, Native American, and Asian/Pacific Islander Recruitment & Retention Programs

This initiative supports the outreach, recruitment and retention efforts for a wide range of underrepresented minority students. The creation of the Center for African Diaspora Student Success is also part of this initiative.

UC Irvine – Cross-Cultural Center

The Cross-Cultural Center creates and maintains a socially just campus, fostering the cultural identities within the community and providing opportunities for intellectual exchange, student leadership development and community engagement.

UC Santa Cruz – American Indian Resource Center (AIRC)

The AIRC is dedicated to supporting the needs of American Indian students and increasing Native visibility on campus by advocating student centered programs, cultural events, and tools for academic success and well-being. The center serves as a vital link between American Indian students, the University, and tribal communities to foster growth through mentoring, leadership opportunities and scholarly development. The AIRC also serves as a supportive space for students to help ease the transition from home to campus life.

Summer Bridge (\$12.0 million)

Research has shown that undergraduates who do not perform well in their first year are much less likely to graduate or graduate on time. Summer bridge programs are critical to providing a positive jump start and/or smooth transition to college. These are typically residential orientation and workshop programs conducted during the summer before students matriculate, which are designed to help students to develop effective study skills to make the transition from high school (or community college for transfer students) to college. Programs also include a variety of student advising, academic preparation, and mentorship activities to help first generation, low-income, and/or historically underrepresented minority students cope with a change in their learning environment. Some campus examples include:

UC Davis – Special Transitional Enrichment Program (STEP)

STEP begins with a four-week summer residential program and continues for students' first two years on campus, providing transitional classes, skills development, and intensive

counseling and academic advising to first-generation, low-income, and/or historically underrepresented students.

UCLA – Freshman Summer Program and the Transfer Summer Program

Under the auspices of the Academic Advancement Program (AAP), which serves UCLA's underrepresented minority, first generation, and students from under-resourced high schools, AAP offers two academic summer programs – The Freshman Summer Program and the Transfer Summer Program – which prepare students to succeed by exposing them to the rigor and demands of academic life and to undergraduate programs, services, and learning resources.

UC Santa Cruz – Educational Opportunity Program (EOP)

EOP Bridge First Year Experience is a college transition first year experience program with intensive support for underserved students including low-income, first generation and historically underrepresented students. The goal of the program is to ensure students persist to year two and are in good academic standing.

Student Counseling (\$4.3 million)

These programs and activities address specific issues in the student background that may serve as potential barriers to academic success, including mental health issues, domestic violence, health and wellness. They include additional support for students on academic probation. Some campus examples follow:

UC Riverside – Academic Intervention Program (AIP)

The mission of the Academic Intervention Program (AIP) is to design, implement, and manage programs for undergraduate students who are struggling academically, failing to make satisfactory academic progress, and/or would like to improve their academic performance. These programs address both academic and non-academic barriers to student success, and use peer counselors as coaches/mentors as well as referrals to other appropriate departmental/campus resources. AIP encompasses two programs within the Academic Resource Center – Assistance, Counseling, and Encouragement (ACE) and Study Skills Workshops.

UC Santa Barbara – Student Affairs

Programs include various student support services, such as Campus Learning Assistance Services (CLAS), Career Services, Community Housing, Counseling Center, and Health & Wellness.

Undergraduate Research (\$3.5 million)

These programs provide opportunities and, in some cases, payment (stipend, or scholarships) for undergraduates to participate in faculty-led research projects to have a field study experience, gain more in-depth experience with their chosen field of study, and gain exposure to all aspects of research, from field surveys, and data collection, to drafting presentation of findings and reports. These programs increase student interactions with faculty, and provide faculty

mentorship opportunities, which have been shown to have positive impacts on persistence and achievement particularly for minority students.

UC Santa Barbara – Early Undergraduate Research Experience and Knowledge Acquisition

The Early Undergraduate Research Experience and Knowledge Acquisition (EUREKA) program is designed to enrich the academic experience of undergraduates at UCSB in science, technology, mathematics and engineering (STEM) disciplines early on in their educational careers. The program is focused on introducing students in their first year to the broader science community on campus and providing exposure to research through academic year internships. The program is designed to nurture students' academic achievement through financial support and opportunities to actively engage in the science community through early preparation that addresses the academic skills, social networking, and career exploration needed for success in the sciences.

UC San Diego – Post-Baccalaureate Research Education Program (PREP)

Post-Baccalaureate Research Education Program (PREP) provides opportunities for recent underrepresented undergraduates to participate in research opportunities that increase their chances of acceptance in graduate programs.

Data-based Analytics (\$2.4 million)

Campuses are investing in systems, data warehouse solutions, and business intelligence tools (reports) which more easily capture data regarding student outcomes, retention, graduation rates, and time to degree, as well as identify the predictors of student success for potentially at-risk students. Once potentially at-risk students are identified, the campuses use the information to recommend appropriate interventions and support programs for the students. Some examples of campus programs are as follows:

UC Berkeley – Analytic Support of Curricular and Academic Support Programs

The Office of Planning and Analysis (OPA) and the Office of Equity and Inclusion (OEI) provide analytical support for units supporting special populations of students and campus intervention efforts. Data and analytic support involves cross-cutting efforts that touch numerous initiatives, goals, and programs, such as the Biology Scholars Program, and other student support programs in the College of Engineering, Summer Bridge, and Centers for Educational Equity and Excellence.

UCLA – Various Dashboards and Tools to predict Graduation Rates and Student Success

At-Risk Dashboard predicts students at risk for missing an on-time completion of their bachelor's degree; freshman and transfer entrants. A Course Grading Outlier Tool identifies courses of concern regarding student performance and disparities among groups. The Enterprise Performance Management Dashboard reports both performance statistics and data mining constructs, e.g., predictive analytics, by academic department.

UC Santa Cruz – Student Success Predictors

Student Success Campus is a combination case management, early alert, and predictive analytics platform. The early alert and predictive analytics functionality allow for the detection of at-risk students in time for early and more effective intervention. The case management and adviser-facing functionality allow for better coordinated and more effective interventions and advising.

Mentorship (\$1.3 million)

Mentorship plays an important role in helping students positively transition to college, stay on track to graduation, and overcome obstacles that can prevent them from succeeding in their selected majors and graduating on time. Research on student retention has consistently demonstrated that contact with advisors has a positive influence on student persistence, particularly for students with a lower likelihood of completing a degree, such as educationally disadvantaged low-income and underrepresented minority students. These programs provide faculty and peer advising and emotional support for students to help ease the transition to college, and make difficult decisions about housing, college life, courses, majors, internships, and career choices. Examples of campus programs include:

UC Irvine – School of Social Ecology, Student Teacher Mentors

High-achieving students, especially those from low-income and underrepresented backgrounds, are invited by faculty to assist peers in learning activities that are part of upper-division courses. Students may receive pay up to \$1,500 per quarter.

UC San Diego – Faculty Mentorship Program (FMP)

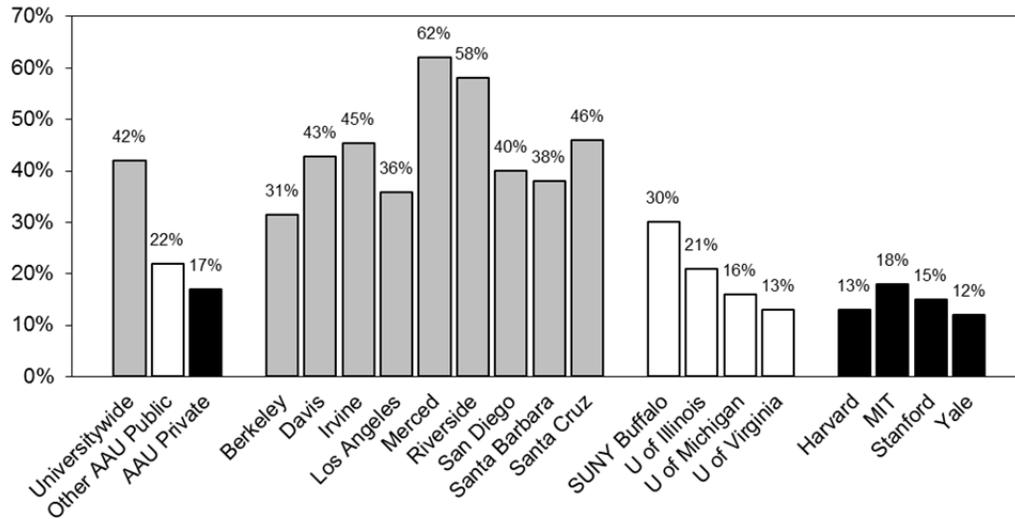
The Faculty Mentor Program (FMP) provides undergraduates with the opportunity to conduct supervised research with UC San Diego faculty in all fields.

The Impact of Financial Aid on Graduation Rates

The University of California has robust financial aid policies and programs that keep it financially accessible to all students. Similar to student support services, financial aid programs also have a significant impact on low-income students' ability to attend and graduate from the University.

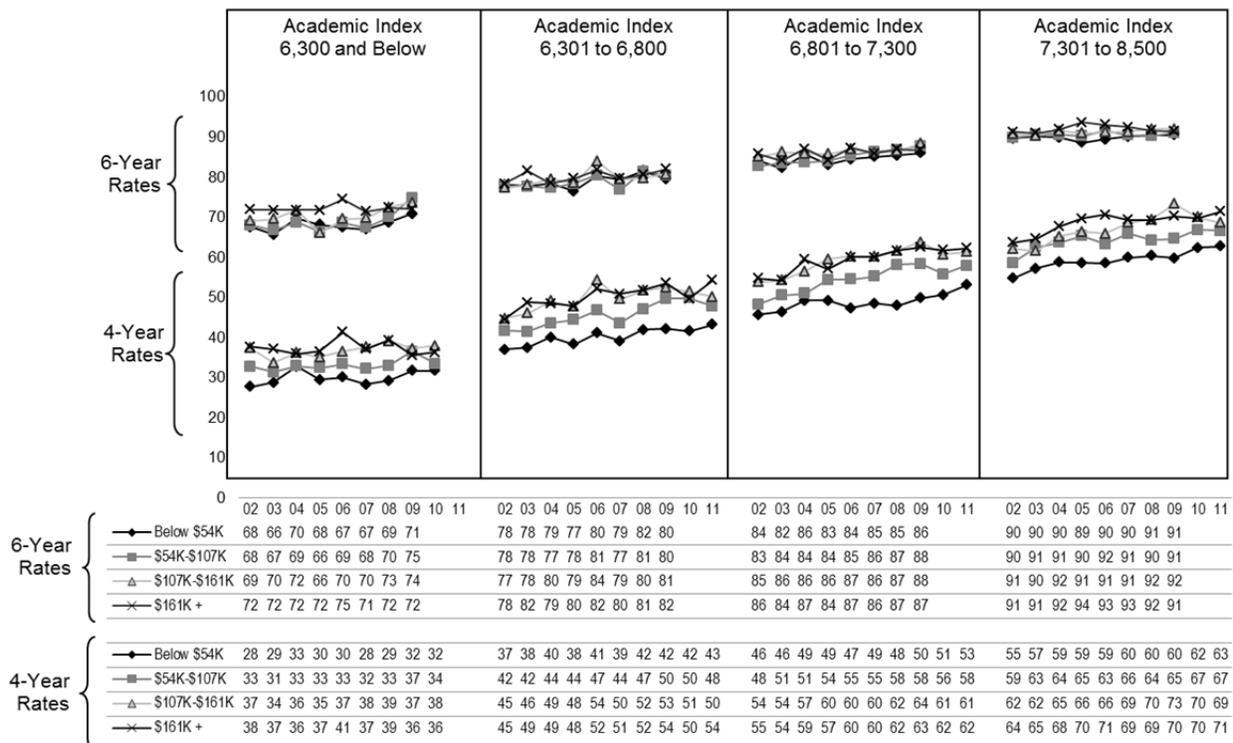
In 2014-15, financially needy undergraduates at the University of California received a total of \$1.97 billion in financial aid awards, including \$735 million in UC grant awards, \$33 million in UC scholarship awards, \$820 million in Cal Grants, and \$377 million in federally supported Pell Grants. The combined need-based grant and scholarship available to UC students has allowed it to enroll significantly more Pell Grant recipients than any other comparable research university (see Figure 2). As shown below, 42 percent of UC undergraduates were Pell Grant recipients in 2013-14, while the average of comparable private or public research universities (defined as member of the Association of American Universities) is only 22%. These numbers are even higher for students from traditionally underrepresented groups: 60% of African American and 67% of Chicano/Latino California students receive Pell Grants at UC.

Figure 2: Pell Grant Recipients at UC and Other Research Universities, 2013-14



Furthermore, graduation rates for low-income students are very strong. Figure 3 below shows the four- and six-year graduation rates of students by income and academic preparation. Four-year graduation rates are slightly lower for low-income students who have comparable academic backgrounds, but financial support allows them to close that gap and graduate at the same rate as their wealthier peers by year six.

Figure 3: Four- and Six-Year Graduation Rates by Entering Year, Parent Income, and Academic Preparation



A full summary and review of the University of California financial aid programs and outcomes can be found in its Annual Report on Student Financial Support for the UC Regents, the UC Information Center, and its Annual Accountability Report, all available through the Institutional Research and Academic Planning Office website on the University of California Office of the President home page.

While this report focuses on the use of funds to provide support services which enhance the academic success of students, it is important to keep in mind the significant role financial aid plays in contributing to increased graduation rates, especially for students from low-income backgrounds.

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