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December 18, 2017

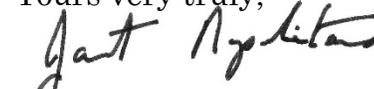
The Honorable Holly J. Mitchell  
Chair, Joint Legislative Budget Committee  
1020 N Street, Room 553  
Sacramento, California 95814

Dear Senator Mitchell:

Pursuant to Section 66057 of the Education Code, enclosed is the University of California's annual report to the Legislature on *Summer Enrollment*.

If you have any questions regarding this report, Associate Vice President David Alcocer would be pleased to speak with you. He can be reached by telephone at (510) 987-9113, or by email at [David.Alcocer@ucop.edu](mailto:David.Alcocer@ucop.edu).

Yours very truly,

  
Janet Napolitano  
President

Enclosure

cc: Senate Budget and Fiscal Review  
The Honorable Anthony J. Portantino, 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: Mrs. Katie Sperla)  
Ms. Peggy Collins, Joint Legislative Budget Committee

The Honorable Holly J. Mitchell

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Mr. Danny Alvarez, Secretary of the Senate  
Ms. Tina McGee, Legislative Analyst's Office  
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. Jeff Bell, Department of Finance  
Mr. Christian Osmena, Department of Finance  
Mr. Jack Zwald, Department of Finance  
Ms. Tina McGee, Legislative Analyst's Office  
Mr. Mac Taylor, Legislative Analyst's Office  
Mr. Jason Constantouros, Legislative Analyst's Office  
Executive Vice President and Chief Financial Officer Nathan Brostrom  
Provost and Executive Vice President Michael Brown  
Vice President Pamela Brown  
Associate Vice President David Alcocer  
Associate Vice President and Director Kieran Flaherty  
Chief Policy Advisor and Executive Director Jenny Kao  
Chief of Staff to the Chief Financial Officer Oren Gabriel

## UNIVERSITY OF CALIFORNIA

### Summer Enrollment

The following report is submitted in compliance with Section 66057 of the Education Code, which states in part:

- “...(d) On or before January 10 of each year, the University of California is requested to, the California State University shall, submit to the Legislature a report describing summer enrollment for their respective systems. The report shall include all of the following information separately for each campus in the system:
- (1) The number of state-funded headcount students enrolled during the summer term of the preceding calendar year and, for comparison purposes, the year-average number of state-funded headcount students enrolled during the preceding fall, winter, and spring terms.
  - (2) The number of state-funded full-time equivalent students enrolled during the summer term of the preceding calendar year and, for comparison purposes, the number of year-average state funded full-time equivalent students enrolled during the preceding fall, winter, and spring terms.
  - (3) Efforts undertaken to increase summer enrollment.”

#### SUMMARY

Facing extraordinary growth in high school graduating classes beginning in the late 1990s and the need to accommodate significant enrollment increases, the University, with funding from the State, began expanding summer instruction programs in 2001. In the seventeen years from 2001 to 2017, the University more than doubled its summer enrollments. In 2017, over 80,300 students participated in summer instruction. The systemwide summer 2017 headcount was 34 percent of that in 2016-17 fall, winter, and spring terms, ranging from 24 to 42 percent by campus. Summer enrollments represent 20 percent of an average academic year term’s full-time equivalent (FTE) student enrollment.

The key to achieving significant enrollment growth in the summer has been to offer summer instruction that is critical to student progress toward graduation, along with essential student support services, access to libraries, and student financial aid. Expansion of summer enrollments has resulted in more efficient use of facilities and accelerated time-to-degree for undergraduates, thereby making room for more students during the regular year. Campuses have offered a greater breadth of courses during the summer to maximize efficiency and student progress toward the degree; campuses offered nearly 5,600 primary classes in summer 2016 (the last year for which complete data are available)—over double the number of primary classes offered in summer 2000. Students report using summer as a means to graduate on time and enjoy the smaller class sizes and greater faculty contact that are often provided by summer courses.

**Table 1: Year-Average Headcount and Full-Time Equivalent Enrollment by Term\***

University Total	Year-Average Headcount	Full-Time Equivalent**
Fall-Winter-Spring 2016-17	238,830	233,088
Summer 2017	80,324	16,399
% of Fall-Winter-Spring	34%	20%

\* Includes undergraduate and graduate students. Excludes health sciences and self-supporting degree programs.

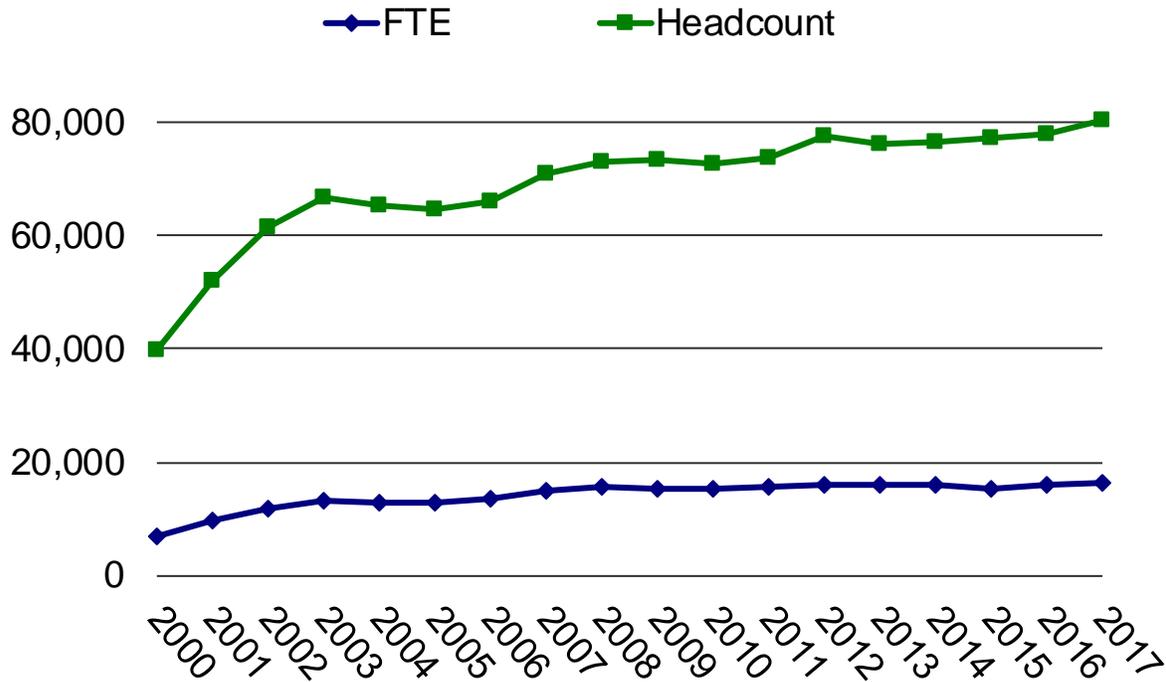
\*\* Full-time equivalency is based on the number of student credit hours (units) a student takes over the fall-winter-spring terms divided by the normative load for the student. On a quarter campus, for an undergraduate, 45 units equals 1.0 FTE; for a graduate student, 36 units. On a semester campus, the normative undergraduate load is 30 units and the graduate load is 24. Summer units are also divided by the normative load, so a student taking 15 units in the summer at a quarter campus would represent 1/3 FTE. See the footnote under Table 3 for a detailed explanation of how FTE percentages are derived.

Sources: Budget Analysis and Planning, UC Office of the President.

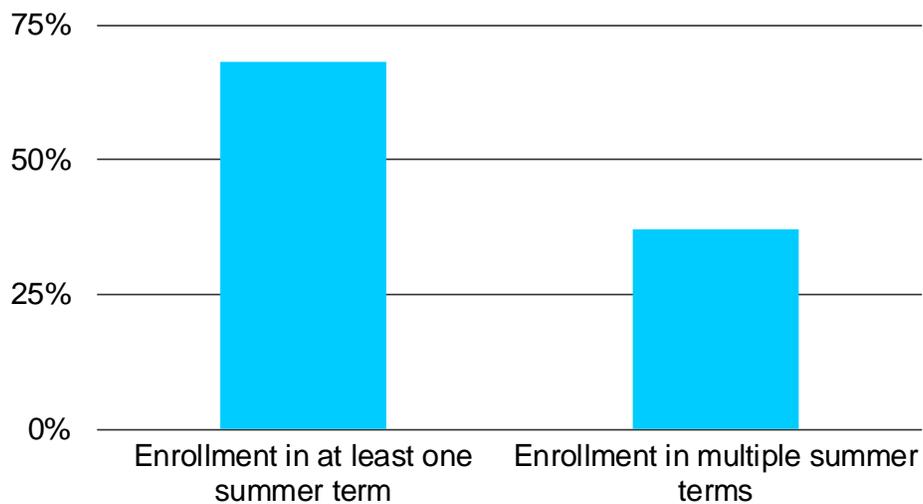
**CAMPUS EFFORTS TO INCREASE SUMMER ENROLLMENT**

As Display 1 shows, FTE enrollment in summer instruction grew significantly with the onset of State support in 2001 but leveled off with the elimination of summer Pell Grants in 2012. As shown in Display 2, and as with earlier cohorts, among undergraduates who entered UC in 2011 and 2012, 68 percent enrolled during at least one summer term during their undergraduate careers and 37 percent enrolled in summer courses during more than one year.

**Display 1: Summer Term Headcount and FTE Enrollment**



**Display 2: Summer Enrollment Patterns of UC Undergraduates \***



\*Among entering classes of 2011 and 2012.

With State support since 2001, campuses implemented strategies to encourage more students to participate in the summer term and to increase summer unit loads. These strategies included providing more financial aid, reducing the cost of summer attendance through summer financial aid, and expanding the availability of summer courses and programs.

The elimination of year-round Pell grants resulted in a decrease in undergraduate summer FTE enrollment beginning in summer 2012. In addition, ongoing budget pressures resulted in some campuses scaling back efforts to increase summer enrollment they had made in earlier years. Most notably, two campuses that had offered a summer charges cap (in which students did not pay the per-unit charge for units beyond a certain number) discontinued this incentive in summer 2015. Diminished resources through summer 2015 also resulted in a reduction in advertising and marketing efforts that in past years had attracted additional summer enrollments.

### **2016 Budget Framework Agreement Summer Pilots**

As part of the Budget Framework Agreement reached between President Napolitano and Governor Brown and approved by the UC Regents, three campuses each established and implemented a pilot initiative designed to expand enrollment in their 2016 Summer Sessions. Each pilot involved a pricing incentive:

- Berkeley offered an enhanced and expanded summer enrollment loan program available to all financially needy students, including middle class students. In addition, incoming freshmen were offered a tuition-free two-unit online course designed to help students find an appropriate major;
- Irvine established a summer fee cap whereby current and incoming UC students received for free any additional units taken above eight units; and
- San Diego offered low-cost housing rates for continuing students who enrolled in summer.

All three campuses implemented marketing plans to ensure the initiatives were widely known. In addition, all three summer session websites featured the new initiatives in various ways. All three pilot projects, part of UC's Budget Framework Implementation (BFI) work, operated during summer 2016 and have now concluded. The table below shows that the three pilot campuses increased enrollment over the prior year by 638 FTE, compared to an increase at the six non-pilot campuses of just 106 FTE.

**Table 2: 2016 SUMMER SESSION  
UC Undergraduate Enrollment Estimates**

Campus	Summer UC Undergraduate FTE			Change From	
	2014	2015	2016	2014	2015
Berkeley	2,243	2,238	2,232	(11)	(6)
Irvine	2,437	1,833	2,350	(87)	517
San Diego	1,698	1,753	1,880	182	127
<b>BFI Pilots TOTAL</b>	<b>6,378</b>	<b>5,824</b>	<b>6,462</b>	<b>84</b>	<b>638</b>
Davis	1,997	1,964	1,974	(23)	10
Los Angeles	2,821	2,810	2,824	3	14
Merced	433	418	422	(11)	4
Riverside	1,211	1,173	1,160	(51)	(13)
Santa Barbara	1,780	1,668	1,684	(96)	16
Santa Cruz	689	669	744	55	75
<b>Non-BFI TOTAL</b>	<b>8,931</b>	<b>8,702</b>	<b>8,808</b>	<b>(123)</b>	<b>106</b>
<b>TOTAL</b>	<b>15,309</b>	<b>14,526</b>	<b>15,270</b>	<b>(39)</b>	<b>744</b>
Participating BFI Pilots					

Sources: Budget Analysis and Planning, UC Office of the President

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It should be noted that all the campuses made efforts to stem the decline in summer enrollment and overall the University increased summer undergraduate enrollment by 744 FTE. As part of the BFI process, the University evaluated the pilots and shared the results of the pilots with all of the campuses. A final formal report documenting these results was also released in July 2017.<sup>1</sup> Key findings of that report include:

1. **Collectively, the three pilot campuses were successful at generating a larger increase in UC FTE summer enrollment than were the other six campuses not participating in the pilots.**
2. **The results for the pilots varied substantially and only two of the three pilot campuses increased enrollment.** Of the 638 additional FTE generated on the pilot campuses in 2016, 80 percent was at Irvine and 20 percent was at San Diego. Berkeley's enrollment remained essentially flat.
3. **Irvine's direct financial incentive of waiving fees for units above a fee cap succeeded in generating a large increase in FTE.** When Irvine eliminated its fee cap in summer 2015, enrollment fell by 604 FTE. Irvine's goal was to restore 400 of this lost FTE with its summer 2016 pilot, which re-instituted a fee cap ("Pay for Only 8"). Ultimately, the campus succeeded in adding 517 more FTE than in summer 2015.
4. **San Diego's pilot helped generate a substantial increase in FTE, but the financial incentive of low-cost housing generated only a modest portion of that enrollment.** While San Diego had the next largest FTE increase (127) among all of the UC campuses in summer 2016, only about 100 students actually benefited from living in housing at a reduced cost, and those students generated approximately 20 FTE. The campus stated that the significant increase in summer FTE was realized by integrating a number of student services (e.g., housing, financial aid, and advising) into the marketing of summer session to current undergraduates.
5. **Berkeley's loan and its no-tuition course for entering freshmen may have helped to stave off declines in enrollment, but these incentives did not result in overall enrollment increases.** While Berkeley did not show an increase in enrollment, the campus believes that two components of the pilot program (the tuition-free 2-unit course and the enhanced middle class loans) offset what would have been an FTE decline in summer 2016 compared to summer 2015. Although the 146 students who took advantage of the tuition waiver by enrolling in the 2-unit course represented a numerical success, those students only generated an increase of around 10 FTE due to the low unit-value of the course.
6. **Students in all income ranges benefited from the pilot pricing incentives.** Analysis of the enrollment data at the three pilot campuses shows that the summer session pilots benefited students across income groups. In particular, the largest FTE increase was among low-income students at Irvine. That is, of the approximately 500 FTE increase among continuing students, there was a 230 FTE increase among low income students.
7. **Although the Irvine program generated the greatest enrollment gains, it also had disproportionately higher costs than did the other pilot programs.** Indeed, the gains in FTE associated with the pilot programs correlate with the costs of implementing the program. Irvine's program waived \$7 million in summer session tuition for units above the 8-unit fee cap. San Diego spent about \$400,000, mostly in housing discounts, and Berkeley's cost was the least, at around \$205,000.

The pilot programs were designed to examine how alternative pricing models affect summer enrollment. By itself, a relatively large financial incentive (such as a fee waiver) appears necessary to significantly increase summer FTE. As demonstrated by San Diego's summer session pilot, however, a smaller financial incentive combined with programmatic changes in how summer is marketed to students can also result in a significant summer FTE increase. All three campuses that participated in the pilots indicated that they planned to continue the pilot programs in summer 2017, and other campuses also planned innovative approaches for summer 2017. The table below shows how summer 2017 undergraduate FTE enrollment compared to that of summer 2016.

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<sup>1</sup> The 2016 Summer Session Pilot Program Outcomes report can be found here: <http://www.ucop.edu/institutional-research-academic-planning/files/2016-Summer-Session-Pilot-Outcomes-final-report.pdf>

**Table 3: UC Undergraduate FTE Enrollment:  
Summer 2016 and 2017**

<b>Campus</b>	<b>Summer 2016 Actuals*</b>	<b>Summer 2017 Actuals*</b>	<b>Change from 2016</b>
Berkeley	2,232	2,367	135
Davis	1,974	2,073	99
Irvine	2,350	2,364	14
Los Angeles	2,824	2,955	131
Merced	422	436	14
Riverside	1,160	993	(167)
San Diego	1,880	1,983	103
Santa Barbara	1,684	1,779	95
Santa Cruz	744	847	103
UC Total	15,270	15,797	527

\*Figures submitted by campuses in November 2017.

### *Student Financial Aid*

The availability of additional financial aid during summer has made it possible for more students to attend summer terms. In an effort to provide financial access to all students in the summer, campuses continue to set aside a portion of summer charges revenue for financial aid. In summer 2016, the last year for which complete financial aid data for summer enrollments are available, campuses provided 29,899 students with nearly \$79 million (\$78.7M) in need-based financial aid during the summer, including \$56 million (\$56.1M) in grants and scholarships.

### *Course Offerings and Special Programs*

Campuses expanded course offerings to encourage more students to participate in the summer term. Between 2000 and 2016,<sup>2</sup> the number of primary courses available in the summer has grown from about 2,700 to nearly 5,600. Some of this growth has been because of the special advantages the summer term offers: campuses use summer to offer special courses not available as frequently during the regular academic year (e.g., internships, field study, and travel study).

- More campuses are offering special summer programs for entering students (new freshmen and transfers), which give them an early start on their UC coursework.
- Students can choose to take an entire year's worth of foreign language in less than three months.
- For undergraduates, enrolling in courses offered during the summer that are usually impacted in the regular academic year can decrease their time-to-degree.
- Online instruction has attracted additional students to summer because of its shorter terms and more flexible scheduling, allowing students to use the remaining time to work, travel, or fulfill other personal obligations.
- Students often choose to enroll in the summer term to take advantage of the smaller class sizes and increased faculty contact that summer courses often provide.

<sup>2</sup> Course data for summer 2017 are not yet available.

### ***Administrative Improvements***

Campuses have removed administrative obstacles to enrollment, for example by streamlining cross-campus registration procedures and thereby enabling students to attend a UC campus closer to home in the summer, knowing their units will be accepted at their home campus. In fact, Summer Sessions Offices frequently advertise in other campuses' newspapers. In the past three years, between 2,000 and 2,500 UC students have taken advantage of the cross-campus enrollment option during the summer. Other strategies campuses use to accommodate summer enrollment include:

- Allowing UC students to register in summer session earlier in the year and improving the management of wait lists so that students have more time to finalize their summer plans;
- Providing incentives to departments that offer more classes and otherwise increase enrollments; and
- Better incorporating summer into the broader educational structure at some campuses, often reporting to the Office of Undergraduate Education and making summer programs more visible to students.

### ***Incentives (such as those Piloted in the Budget Framework Implementation) are Needed to Further Increase Summer Enrollment***

Summer enrollment at UC for regularly matriculated UC students has leveled off in terms of both headcount and FTE. Although about 37 percent of the regular academic year's students enroll in any given summer, nearly 70 percent of undergraduates enroll in at least one summer term during their UC campus experience. Those who never enroll in summer cite work, a desire to return home, and other conflicts as reasons not to enroll.

Summer enrollment has enabled quite a few students to eliminate a fifth year of enrollment during the academic year and some students to graduate in less than four years. Specifically, summer enrollment following the fourth year allowed 8.9 percent of the fall 2012 cohort to graduate without having to enroll in a fifth year. Similarly, summer enrollment after the second year allowed 11.7 percent of the fall 2014 transfer cohort to graduate without having to enroll in a third year.

In addition to offering UC students an alternative for taking needed courses during their undergraduate years, all of the UC campuses are creating innovative summer programs that are helping prepare incoming UC students at both the freshman and transfer levels, especially for demanding STEM majors. These innovative "summer start" and "summer bridge" programs should result in improvements in time-to-degree and in normative graduation rates over the next few years. Summer instruction has benefited students by providing them with unique academic offerings, additional opportunities to take impacted courses, and the flexibility of part-time enrollment. Summer instruction has benefited the State by increasing capacity of existing campus facilities, helping students graduate in a timely manner, and freeing up space for new enrollments.

**Table 4: Year-Average Headcount and Full-Time Equivalent Enrollment by Campus and Term\***

		<b>Year-Average Headcount</b>	<b>Full-Time Equivalent**</b>
Berkeley	Fall-Spring 2016-17	36,696	35,468
	Summer 2017	11,170	2,446
	% of Fall-Spring	30%	14%
Davis	Fall-Winter-Spring 2016-17	32,861	31,450
	Summer 2017	11,374	2,087
	% of Fall-Winter-Spring	35%	20%
Irvine	Fall-Winter-Spring 2016-17	30,281	29,878
	Summer 2017	11,396	2,493
	% of Fall-Winter-Spring	38%	25%
Los Angeles	Fall-Winter-Spring 2016-17	36,893	36,047
	Summer 2017	15,421	3,058
	% of Fall-Winter-Spring	42%	25%
Merced	Fall-Spring 2016-17	7,049	7,017
	Summer 2017	1,732	437
	% of Fall-Spring	25%	12%
Riverside	Fall-Winter-Spring 2016-17	21,533	20,832
	Summer 2017	5,625	1,055
	% of Fall-Winter-Spring	26%	15%
San Diego	Fall-Winter-Spring 2016-17	31,891	31,841
	Summer 2017	10,786	2,056
	% of Fall-Winter-Spring	34%	19%
Santa Barbara	Fall-Winter-Spring 2016-17	23,562	22,545
	Summer 2017	8,551	1,850
	% of Fall-Winter-Spring	36%	25%
Santa Cruz	Fall-Winter-Spring 2016-17	18,064	18,010
	Summer 2017	4,269	917
	% of Fall-Winter-Spring	24%	15%
Universitywide	Fall-Winter-Spring 2016-17	238,830	233,088
	Summer 2017	80,324	16,399
	% of Fall-Winter-Spring	34%	20%

\*Includes undergraduate and graduate students. Excludes health sciences and self-supporting programs.

\*\* Full-time equivalency is based on the number of student credit hours (units) a student takes over the fall-winter-spring terms divided by the normative load for the student. On a quarter campus, for an undergraduate, 45 units equals 1.0 FTE; for a graduate student, 36 units. On a semester campus, the normative undergraduate load is 30 units and the graduate load is 24. Summer units are also divided by the normative load, so a student taking 15 units in the summer would represent 1/3 FTE on quarter campuses and 1/2 FTE on semester campuses. Just as summer FTE represents workload intensity (as opposed to headcount enrollment) during a summer term, academic year (Fall-Winter-Spring) FTE represents workload intensity over the course of two terms on semester campuses or three terms on quarter campuses. To express summer FTE as a proportion of a full workload, one must either scale summer FTE up (by multiplying it by 2 for Berkeley and Merced, and by 3 for the quarter campuses), or scale the academic year FTE down (by dividing it by 2 or 3). The summer FTE percentages shown in Table 3, for example, can be derived by multiplying summer FTE by 2 or 3 and then dividing the result by Fall-Winter-Spring (or Fall-Spring) FTE.

Sources: Budget Analysis and Planning, UC Office of the President

**Contact information:**  
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