

**SENATE EXECUTIVE COMMITTEE**  
**Guiding Principles for Graduate Growth**

To: Academic Senate, Santa Cruz Division

Many committees of the Academic Senate have closely followed the campus efforts toward increasing our Ph.D. growth to 12% of undergraduate enrollments. (For the purpose of this document, Ph.D. will include all terminal degrees, like the M.F.A.). It is vitally important that we use the resources specifically allotted for this purpose very wisely. Because UCSC received from UCOP (University Office of the President) an extra subsidy for six years in order to reach a graduate enrollment of 12%, not achieving this target could create a future budgetary shortfall; several years ago, the campus did not meet the non-resident targets set by UCOP, and UCSC had to live within a budget that was several million dollars shy of what UCOP set. Monetarily, the goal is important, but there are many other advantages of relevance to our academic mission, such as increasing our research excellence and reputation, enhancing our undergraduate education, and increasing our graduate education profile. The Senate Executive Committee (SEC) set out to create guiding principles that seek to re-assert the aspiration for graduate growth, maximize the benefits, and acknowledge the potential trade-offs. The Joint Senate/Administrative Task Force on Academic Structures provided a thoughtful analysis in its report of May 2013 ([http://senate.ucsc.edu/archives/tf-academic-structures-strategic-planning/Task%20Force%20ASSP\\_Full%20Report.pdf](http://senate.ucsc.edu/archives/tf-academic-structures-strategic-planning/Task%20Force%20ASSP_Full%20Report.pdf) - graduate growth section starts on page 11), which SEC discussed extensively in 2013-14. The six principles articulated below are intended as broad guidelines for keeping sight of our values while in the pursuit of our graduate growth aspirations.

***The primary driver of UC Santa Cruz graduate student growth must be our academic mission.***

Increasing the proportion of graduate students enrolled at UCSC is seen as an important component of UCSC's efforts to further its reputation and impact and has been a long-standing and explicitly-stated goal of both the administration and Academic Senate. In 2002 the Senate passed a resolution (<http://senate.ucsc.edu/archives/resolutions-page/CPBenrollResolut.pdf>).

**THAT** UCSC commit itself to growth in graduate and professional programs, both existing and new, with the goal of attaining a student population containing at least 15% graduate students; and

**THAT** the UCSC Senate and Administration jointly develop a plan aimed both at establishing this student population and guiding the annual targets.

While the campus readily adopted the 15% target in 2002, a jointly developed plan to reach it was not created. The debate to identify the desired mix of Masters and Ph.D. within the 15% also did not occur.

The impetus for campus growth in graduate enrollments must align with a proper understanding of our academic mission as a public institution. As such, UCSC is expected to produce knowledge and creative works that further the common good and promote social equality, mobility, and intercultural understanding. Doctoral student research is an integral part of knowledge creation and helps increase UCSC's research impact and reputation. Graduate student

contributions to teaching support undergraduate education. Furthermore, the California Master Plan for Higher Education mandates access to higher education, including graduate education for all Californians. This mandate is particularly significant in light of California's increasingly diverse demographic population, for which access to higher education remains a key avenue to social mobility.

UCSC set itself on the graduate growth trajectory long before the more recent developments resulting from the university-wide “rebenching” program that identified UCSC to receive additional funds to reach a 12% aspirational doctoral student growth target. We must take care to use these additional resources well in achieving our long-stated goals.

***Implementation of graduate growth will enhance undergraduate education.***

An increased presence of graduate students will lead to a greater opportunity for instruction and mentorship of undergraduates and more opportunities for them to participate in research. This type of indirect benefit to undergraduate education has been largely unrecognized and understated in campus discussions about graduate growth. The addition of TAships support undergraduate teaching. We must carefully monitor the effects of graduate growth to assure that it does not detract from the undergraduate experience but creates additional prospects for undergraduates and enriches their learning environment.

***Resources for graduate growth will be used to foster excellence.***

The process of expanding existing and developing new graduate programs will entail potential trade-offs between the growth of graduate instruction and other campus goals. To be successful, graduate programming must be expanded in a principled way so as not to “starve” existing programs of distinction, not to create new programs too under-resourced to succeed, nor to undermine faculty initiatives across disciplines. The focus must be on programs, not departments. Allocations must be used strategically with a multi-year vision of developing areas of scholarship that can be leveraged to enhance the entire graduate education mission.

Doctoral growth is closely tied to our research mission, and it is imperative that we maximize support for faculty research. Hiring top tier research faculty and supporting the research infrastructure for existing UCSC faculty will create an environment that draws resources to the research mission. Faculty must be protected from clerical or bureaucratic work that does not require their expertise so they can put their effort directly into the research that will create distinction, enhance reputation and bring funding.

***Planning for and monitoring progress of graduate growth will be organized at the center.***

Reaching 12% Ph.D. enrollment is a balance not only of undergraduate and Ph.D. percentages, but the underlying financial structure must include a balance of many intricately linked factors,

such as non-resident undergraduates, fee-paying Masters enrollments and tuition increases or caps.

The May 2013 Report of The Joint Senate/Administrative Task Force on Academic Structures ([http://senate.ucsc.edu/archives/tf-academic-structures-strategic-planning/Task%20Force%20ASSP\\_Full%20Report.pdf](http://senate.ucsc.edu/archives/tf-academic-structures-strategic-planning/Task%20Force%20ASSP_Full%20Report.pdf)) concluded:

The Task Force believes it important that the Division of Graduate Studies be supported to finalize the study by the Graduate Division mentioned above, examining and perhaps expanding its underlying assumptions, and make its findings widely available to the campus community. It is difficult to discuss the various impacts, positive and negative, of the graduate growth initiative without at least an approximate sense of the evolving fiscal landscape associated with increasing graduate enrollments. In this light, the discussion of any proposed model of graduate growth, and indeed the appropriateness of the aspirational goal itself, can only be undertaken in an informed manner if the concrete fiscal implications can be understood through the sort of study initiated by the DGS.

The administration must put its resources to making explicit, published strategies and targets for each of these elements so that faculty and staff can understand how to fit their efforts into this framework for growth. The Senate must engage as a full partner in the graduate growth initiative process.

***Faculty incentives, both financial and intellectual, will increase graduate enrollments.***

Increased attention to incentives that will encourage faculty to participate in graduate education will be a primary factor in UCSC's success towards our aspiration of graduate growth. The Graduate Dean has developed multiple programs to create inducements to increase enrollments. These provide direct support to graduate students like Graduate Dean Fellowships and Non-Resident Tuition Fellowships, or incentives, such as the Masters Incentive Program and the change in block allocations enabling multi-year offers. It is clear that existing state and campus funding will not be sufficient to match our growth aspirations. It is incumbent upon faculty to increase their efforts to secure extramural funding from whatever sources are available within their discipline. However, increased grant writing and mentoring of additional graduate students demand substantial effort from faculty, who compete for the resources to put these incentives in place, such as staff assistance for grant preparation or realistic teaching loads that acknowledge graduate education workload. The incentives must be transparent and equally accessible to all faculty.

***Graduate education supports scholars in a variety of career trajectories.***

Faculty through their departments, divisions and programs will need to develop elements in the graduate programs that prepare academic graduate students for their post-UC Santa Cruz lives in a world with limited full-time academic positions. The faculty are well aware of the daunting prospects for recent Ph.D. graduates poised to enter the academic marketplace. Yet, at the same time, our planet needs people who can deeply analyze complex problems and devise creative

solutions, people like our Ph.D. graduates. Hence, we need to prepare them not only for a life of scholarship in the academy but also how to apply those same skills for meaningful and fulfilling intellectual lives existing in many other venues beyond higher education. The Graduate Dean has already put some resources into Graduate Division programming to help students gain leadership skills and think more broadly about applying their education in other contexts. Faculty need time to put some energy toward new curriculum development that better prepares our students for the rapidly changing job markets of the 21<sup>st</sup> century, even if it is only to make students aware of alternate applications of their degrees. A graduate education environment with this expanded view brings the benefit of fostering diversity of thought. Programs that do not see the applicability of their degrees in other careers should consider constraining their enrollments to match academic position availability.

## **MOVING FORWARD**

We are half way through the period for receiving UCOP funds for this aspirational enrollment growth. Senate Committees over the last few years have had varying degrees of success in engaging the administration on planning for graduate growth. The Joint Task Force Report of May 2013 made a strong call for transparency around planning and reporting progress toward goals. SEC recognizes that responsibility for achieving the 12% target lies with both the faculty and the administration and so recommends the formation of a Joint Senate/Administrative Task Force on Graduate Growth, to be convened immediately and charged with charting a clear course toward 12% Ph.D. enrollment at UCSC.

Respectfully Submitted;  
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