

Cover Page: Awards for Innovation in Higher Education Application

Coordinating Institution: University of California, Santa Barbara

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Abstract:

UC Santa Barbara's Registrar is using technology in innovative ways to help decrease students' time-to-degree, increase their completion and graduation rates, and reduce administrative costs. We have aimed to make it easier and more efficient for students to enroll in the classes they need in a timely manner, and to increase the efficiency of the administrative work for faculty, departmental staff, and the Registrar's office. The projects highlighted in this application are a new course waitlist system that is integrated with the faculty course management system, the student registration system, and the campus student information system and a custom-built add-on to the DARS degree audit system that automates a significant portion of the degree clearance process. The Integrated Waitlist improves the often difficult process of student registration in courses by addressing the practice of "course crashing" through a flexible system through which departments and instructors can allow waitlisted students to be automatically added to courses. This system also provides more reliable information on course demand, enabling departments to better meet student needs, thereby reducing course bottlenecks. The Batch Degree Audit project automates the transcript auditing for students who have applied for graduation and flags those that do not meet graduation requirements. This allows Registrar staff to quickly contact students with errors or credit shortfalls and provides them the necessary time to remedy such issues before graduation, saving many students from the burden of attending, and paying for, an unexpected quarter of classes. Together, these programs promise to have significant impact on time-to-degree, moving students through the university more quickly, increasing the flow of students through the university and ultimately increasing the number of bachelor's degrees UCSB can award.

Assurance and Signature:

I assure that I have read and support this application for an award. I understand that if this application is chosen for an award, my institution will be required to submit, for approval by the Committee on Awards for Innovation in Higher Education, a report indicating proposed uses of the award funds and, as the fiscal agent, will be responsible for distributing funds to any other participating entities. I also understand that, if this application is selected for an award, my institution will be required to submit reports to the Director of Finance by January 1, 2018, and by January 1, 2020, evaluating the effectiveness of the changes described in this application.

Henry T. Yang, Chancellor Jan. 14, 2015
Name and Title Date

Context
(10 Percent Weight)

1. Please describe specific programmatic or institutional goals set by the participants in this application and how achieving these goals ultimately will increase the number of bachelor's degrees awarded, allow students to complete bachelor's degrees within four years, and/or ease transfer, particularly for student groups that are underrepresented in higher education. Please describe when and how these goals were developed and how they are used on an ongoing basis. (1 page maximum.)

This application highlights two systems built and implemented by the University of California Santa Barbara's Office of the Registrar—in close collaboration with the college advising offices and academic departments—that align with UCSB's goal to reduce the procedural friction that can significantly slow students' progress, leading to longer time-to-degree and lower graduation rates. These programs further California's goals to increase the number of bachelor's degrees awarded, reduce time-to-degree, and ease transfer. The first system is the Integrated Course Waitlist System, which improves students' ability to get the courses they need when they need them, reduces uncertainty in course planning, and helps academic departments to better gauge course demand. The second, the Batch Degree Audit System, extends the capabilities of an existing vendor degree audit system (DARS 3.54) to allow earlier, more accurate, targeted intervention for students at risk of failing to complete all degree requirements. Because DARS is widely-used by universities and colleges in California, the Batch Audit Degree System can be adapted by many campuses with relative ease. The specific program goals follow:

Goal 1: Improve students' ability to get the courses they need when they need them and to better plan their path to degree.

- 1.1 Increase use of integrated waitlist for impacted courses to 100% by 2018-19
- 1.2 Increase use of auto-add for courses with active waitlists to 95% by 2018-19
- 1.3 Reduce time faculty and advisors spend on adding process (benchmark in AY 2014-15)
- 1.4 Increase number of sections opened due to waitlist demand to 50 courses per quarter

Goal 2: Decrease number of students who do not graduate in quarter for which they declare intention.

- 2.1 Decrease processing time for degree clearance by 55% by 2018-19
- 2.2 Notify students of issues that may delay graduation within one week of their submitting an "intent to graduate" by 2018-19
- 2.3 Reduce NILS rate (UCSB Registrar's term for degrees not cleared) to 4% by 2018-19

By easing students' movement through the university's complex procedural systems and identifying and intervening with students at risk of not graduating as expected earlier, UCSB should be able to increase the overall graduation rate and reduce students' time-to-degree. This will allow us to increase the volume of students flowing through the university, providing more opportunity for a greater number of students to enroll at UCSB. In addition, these innovations, particularly the Batch Audit Degree system, strengthen a weak link in degree progress for underrepresented minority students and transfer students, whom we have found more likely than other students to have procedural issues delay their graduation.

2. Please provide a statistical profile of the students you serve, disaggregated by gender and the following ethnic and racial categories as they are defined by the United States Census Bureau for the 2010 Census for reporting purposes: American Indian or Alaska Native, Asian, Black or African American, Hispanic or Latino, Native Hawaiian or other Pacific Islander, White, some other race, and more than one race. Additionally, please provide information on the proportion of students who are current or former foster youth, students with disabilities, low-income students, and veterans. Please provide an analysis of the factors that affect the ability of your students to earn bachelor's degrees, graduate within four years, and/or transfer, including the particular factors that disproportionately affect student groups that are underrepresented in higher education. Please note which factors you believe can be influenced by changes to policies, practices, or systems. (2 pages maximum.)

The Office of the Registrar plays a vital role in UCSB's efforts to improve graduation rates, reduce time-to-degree, and ease the transfer process. The nature of our work as stewards of the enrollment process and student academic records requires that we bridge the gap between the University's academic, administrative, and student services functions. The efficiency and effectiveness of our systems (including our new Integrated Course Waitlist and Batch Degree Audit) thus has a large impact on students' access to information critical to navigating their way through the University. Our systems are likewise critical for effective interventions by academic advisors, administrators, and faculty that will improve student outcomes. Thus we are well situated to reduce the procedural friction that can impede students' timely progress toward a degree.

Though graduation rates and time-to-degree have been steadily improving for several years, 2013-14, UCSB's graduation rates reflect the ongoing challenge of graduating all students, but particularly under-represented students in four years. The most recent year's data show that after four years, 68% of those who matriculated as Freshman have graduated. After five years, the percentage improves to 79%, and then to 81% by the sixth year. Seventy percent of transfer students graduate within two years, and 87% within three (data from 2013-2014 Campus Profile).

There are many reasons why students take more than four years to complete their degrees, but delays are sometimes caused by the difficulty that students have—especially in impacted majors—finding spaces in available courses needed to fulfill requirements in the right sequence or at times that fit their schedules. This often causes last-minute changes to schedules and missed opportunities. Without efficient waitlists, we have seen the unfortunate result of over-subscribed courses ending up under-enrolled after turning away many students who wanted to take the course. In addition, misunderstanding graduation requirements and a lack of awareness of credit or other transcript deficiencies prevent hundreds of students from graduating each year. The latter issue disproportionately affects underrepresented minority and transfer students. Between Fall 2008 and Summer 2013, 36% of the students who were unable to graduate in the quarter for which they petitioned were underrepresented minorities even though they make up just 29% of the student population during this period. Furthermore, 41% were transfer students despite representing only 25% of enrolled students.

Underrepresented minorities are more likely to be first-generation and/or low-income college students and therefore lack the familial guidance and cultural perspective that students

whose parents have attended college receive.¹ Thus, they are often less aware of how to best handle institutional obstacles that might hinder their progress toward degree completion. There is likely some overlap between underrepresented minorities and transfer students on the NILS list (UCSB's term for students who petition but are unable to graduate as planned), but the greater proportion of transfer students on that list reflects an additional hurdle they face. They need not only transfer their bodies from one institution to another, but also their credits. The process leaves students open to multiple points of miscommunication and error, increasing the likelihood that they will need to delay their graduation by at least one quarter. When students delay, it can have a severe impact on their lives; for some it means increasing their debt, scrambling to find housing and financial support for another quarter, even delaying job starts. With these added challenges, it is unsurprising that many of these students at UCSB take even longer than an additional quarter to complete their requirements; of all students who went on the NILS list between 2008-2013, only 59% have since completed their degree.

Course scheduling and availability and the ability to meet graduation requirements on schedule are a great concern to every current and future student. Indeed increased time-to-degree also has a broader affect on the number of Bachelor's degrees the university can award by restricting the flow of new students through the university. By focusing on ways to ease students' ability to register for the courses they need (course waitlist) and by providing improved ways to check their graduation progress and be notified of potential problems (degree audit), the Office of the Registrar provides important innovations that will help the University further the state's goals for higher education.

Campus Demographics

In Fall 2013, 19,362 undergraduate students enrolled for classes at UCSB, of which nearly 99% enrolled full-time. Of new undergraduates 74% entered as freshmen, and 85% of these new freshmen students entered UCSB from public high schools. Close to 25% of students transferred from a community college (95% of transfers) or another 4-year university (5% of transfers). Women comprised 51% and men 49% of the student body, and the mean age was 20. Forty percent of students were first generation. The parents of 12% of undergraduate students did not graduate from high school. A little more than 25% of our students are low-income, almost 4% are disabled, and less than 1% of students are veterans. In addition, there were 768 students from 76 different countries. The following table provides data on student ethnicity.

Ethnicity	N	%
American Indian/Alaskan	180	1%
Black/African American	748	4%
Chicano/Latino Subtotal	4,690	25%
Asian/Pacific Islander Subtotal	4,689	25%
Other	18	0%
White	7,662	41%
Unknown	607	3%
Total Domestic Enrollment	18,594	100%

¹ Kim, Y.K. & Sax, L. J. (2009). Student-faculty interactions in research universities. *Research in Higher Education*, 50, 121-159; Calarco, J. M. (2011). "I need help!" Social class and children's help-seeking in elementary school. *American Sociological Review*, 76, 862-882.

Innovations

(40 Percent Weight)

3. Please describe key policies, practices, and/or systems in place prior to January 10, 2014, that were initiated to achieve the goals identified in Item 1. Please describe the impact of these policies, practices, or systems, to date, and provide evidence of that impact. Please explain what lessons you have learned—from both successes and failures—and how you will apply those lessons to future actions. (2 pages maximum. You may include additional supporting materials in an appendix labeled Appendix B, limited to 10 pages maximum.)

UCSB has long been aware of the need for a clear path to graduation, and for more than a decade our retention and time-to-degree rates have been improving (see Appendix B). As information technology has revolutionized the possibilities of collecting, analyzing, and sharing information, the university has worked to leverage technology to improve student success and institutional efficiency. The innovations discussed in the next section grow out of the previous work discussed here.

Course Waitlist

The process of course crashing is a familiar ritual for generations of college graduates: If you don't get all the classes you need during your registration pass times, show up to the class you want on the first day, tell the instructor that you wish to add the class, and continue to attend and stay up on class work while hoping enough currently enrolled students drop to make space for you. This often makes the first weeks of the quarter chaotic for students and instructors and can disrupt learning. At many institutions, including UCSB, some students took advantage of the inefficiencies in the system to “scalp” class seats like tickets to a sold-out show. This process has also created a kind of pre-requisite loophole in that it is difficult for instructors to check that students meet course requirements. It did, however, have the advantage of providing instructors and academic departments, those with the best understanding of the demands and needs of their courses, with a large amount of control over the enrollment process, rather than forcing the kind of one-size-fits-all course management that most vendor student information system (SIS) waitlists require.

Ultimately, however, the promises of increased efficiency through technology prompted calls at UCSB for a campus waitlist system in the hopes that it would reduce crashing, reduce faculty and staff workload, improve resource allocation, and reduce improper enrollment practices (such as seat “scalping”). Unfortunately, faculty rarely manage enrollment in exactly the same way, and a one-size-fits-all vendor solution could not meet their varied needs. In 2009 Letters and Science IT (LSIT) created a stand-alone course waitlist system (one that did not integrate with the SIS) to meet the need on an interim basis until a more robust integrated system could be built. This system managed to meet some of the existing needs, but adding students from the waitlist was still entirely manual, making the enrollment management process cumbersome for faculty and academic staff. Many students also found the waitlist process confusing because different faculty and departments used it in different ways. They often still felt the need to put their name on the waiting list and separately contact their instructors, and the course-crashing ritual remained largely unchanged for most students. Neither did this system mitigate the problem of improper enrollment practices, or allow for improved resource planning, as there was no limit to the number of waitlists a student could join, so projections of actual

course demand were severely inflated. Thus the stand-alone waitlist highlighted rather than mitigated the need for a system that better integrated with the campus's other enrollment management systems, such as the SIS, and the faculty and student portals.

As a result, the LSIT waitlist was never widely adopted, and requests for a more user-friendly, robust, integrated system actually increased.

Degree Audit

Progress in the degree audit process has been more linear. UCSB uses the DARS vendor system for degree audit, and in 2007 we released our first automated degree audits to undergraduate students, allowing them to track their progress toward attaining a bachelor's degree within the student registration portal. Previously, we mailed paper reports to students during their junior and senior years, but these reports included only University and General Education requirements, no major requirements. With the implementation of DARS, students could see their degree progress, including major requirements, in near real-time whenever they chose. This had the following advantages:

- It allows for faster and more accurate processing of transfer and AP credit, so that new students can see exactly how work completed elsewhere will apply to their degree.
- It allows errors in student records to be identified and remedied earlier, before they become problems.
- It encourages collaboration between students and academic advisors in understanding and tracking degree progress.

In 2009-10, the Office of the Registrar improved the university's capacity to quickly resolve transcript issues by creating a custom add-on to DARS that reduced the time it took to process petitions for degree requirements from 4-6 weeks to 1-2 business days. Staff from our office has since presented on the process for creating this add-on as well as our results at two professional conferences – the CollegeSource Users' Meeting, and the Pacific Association of Collegiate Registrars and Admissions Officers (PACRAO) Annual Meeting.

This has had great success. Since implementation, we have seen a steady growth in the number of degree audits run by students each year, and a corresponding drop in the percentage of students who fail to receive their degree in the quarter during which they petition to graduate, from 16.3% in 2006 (prior to the release) to 8.74% in 2013 (see Appendix B). This was the lowest percentage of non-graduates in campus history. Still, we have identified ways to further improve the degree audit process. Primary among the needed improvements is making audit data available in batch to allow academic advisors and other administrators to identify students at risk for failing to complete their degrees. This would enable timelier communication and interventions.

The evolution of these critical systems demonstrates UCSB's concern with improving efficiency and easing sometimes problematic, but necessary, administrative processes.

4. Please describe key changes to policies, practices, and/or systems that you have initiated since January 10, 2014, that are intended to achieve the goals identified in Item 1. Please explain why you think the changes you have initiated will achieve those goals and what you expect the impact of the changes will be. (6 pages maximum. You may include additional supporting materials in an appendix labeled Appendix C, limited to 15 pages maximum.)

By focusing on ways to ease students' ability to register for the courses they need and by providing improved ways to check their graduation progress and be notified of potential problems, the Office of the Registrar continues to provide important innovations that will help UCSB further the state's goals of increasing the number of bachelor's degrees awarded, reducing time-to-degree, and easing the transfer process. We have designed further improvements to the waitlist and degree audit systems to maximize the benefit to students.

INTEGRATED WAITLIST

In response to the issues raised in the previous section, the Office of the Registrar undertook a project in 2013 to create a course waitlist system that would better meet the campus's needs by integrating the waitlist with the student registration system (GOLD), the faculty course management system (eGrades), and the Student Information System (SIS), and using that integration to provide enhanced functionality. We reached out to faculty, staff, and students and created a work group (the Functional Workgroup) to steer the development of the system. The Functional Workgroup developed a robust set of desired functionalities intended to give faculty as much flexibility as possible in deciding how to manage enrollment in their courses, while giving students more accurate and timely information to maximize their chances of getting the courses they need and allowing them to make more informed enrollment decisions. Because of the complexity of these requirements, the project was divided into two phases – a beta phase and a full-functionality phase.

The goal of the beta phase (released for Fall, 2014) was to provide the same functionality that faculty already had available to them through the stand-alone LSIT system in a fashion that was more closely integrated with eGrades and GOLD. The goal of the full functionality phase (to be released for Winter, 2015) is to expand on the functionality already available to faculty, giving them greater flexibility and reducing the need for manual processing. The project team also hoped to get feedback from faculty and staff participating in the beta phase to further improve the version being released in the full functionality phase and subsequent versions.

Beta-Phase Functionalities

- Waitlists are completely optional, and default to inactive.
- Waitlists can be managed either by faculty or by department staff.
- For courses with active waitlists, students can add themselves to the waitlist and manage their waitlists through GOLD (Gaucho On-Line Data).
- Faculty can fully view and manage waitlists through eGrades with the following features:
 - Sufficient student data will appear to allow faculty who choose to manage their waitlists manually to make decisions and distribute approval codes (class level, major, email, etc.).

- Faculty have the option to set the course up to automatically add students from the waitlist when spaces become available or to use approval codes.
- Courses that are enabled for auto-add do so on a first-come, first-served basis only.
- Approval codes can still be distributed for courses that have had auto-add enabled.
- Students who do not meet all course pre-requisites and restrictions can still add themselves to the waitlist, but will not be eligible to be added automatically to a course.

Full-Functionality Phase Enhancements

- Auto-add functionality will be based on criteria set by the instructor rather than just first-come, first-served.
- System will be able to handle cross-listed courses.
- More student data will be available on the waitlist screen in eGrades.
- A communication feature will be added to eGrades to allow professors to communicate with all or a portion of the students on the waitlist.
- Students will see more robust waitlist information, including waitlist rank, in GOLD.

Expected Outcomes

We expect the Integrated Waitlist will improve students' access to the courses they need and enable them to graduate more quickly by improving course management and resource planning.

Improved course management is accomplished through the integration of the GOLD, eGrades, and SIS systems. For example, because the previous LSIT system was stand-alone students could not be automatically enrolled in courses when a spot opened, nor could the system flag students who did not meet pre-requisites. The new ability to check students' eligibility and auto-add them to courses will reduce the number of "crashers" showing up to class in the first week. In addition, the integration of the waitlist to these enrollment services enables the automatic closing of registration once a waitlist is opened. Previously, departments did not always remember to close course enrollment, so as students dropped, new students could register without ever joining the waitlist or getting an add code. The integration also enables limits to the number of courses students can waitlist, negating students' ability to hoard and sell course seats to desperate students.

The ability to auto-add students and limit the number of waitlists a student can join will also provide departments with more accurate data on course demand, and thus improve resource planning. Data from the previous waitlist system did not always give departments an accurate picture of course demand because students were often on waitlists for more classes than they could attend; therefore, it was impossible to tell how many students would enroll in a new section were the department to open one. This limitation on waitlisted units should provide a more accurate estimate of how many students actually want to take the course and reduce the risk of opening sections only to have them half-filled. This risk often caused departments to avoid opening new sections, even if demand appeared high. With greater confidence in the data, departments will be more willing to open new sections to meet demand.

Even in its beta phase, the Integrated Waitlist had an important impact on Fall registration. Nearly a quarter of undergraduate classes had active waitlists. There were 21,467 requests on those waitlists, and of those requests 11,105 were resolved by auto-add, saving students, faculty, and advisors many hours of labor. As hoped, the waitlist was also able to help

some departments gauge demand for their courses. Fifteen different departments opened 26 sections due to waitlist demand, allowing hundreds of additional students to get the courses they needed, including gateway courses like Calculus and Microeconomics. As full functionality and full deployment comes online, we expect more faculty members to enable auto-add with their criteria and an increase in departments using waitlist data to help with decisions about course offerings. Ultimately, the level of impact the waitlist will have depends on the extent of its use by the campus. Therefore, we will continue to improve and promote the waitlist and work to get 100 percent of impacted courses using the system.

BATCH DEGREE AUDIT

The student initiated degree audits allowed students more access to timelier information regarding their degree progress, and in doing so, students have been better able to plan their educational paths and resolve issues that might cause graduation delays. Still, however, many students continue to petition for graduation while having unmet requirements and other unresolved issues that will prevent their graduation. Many of these problems can be resolved by reaching out to students early in the quarter of their graduation. However, the time it takes to audit degrees for several thousand students has prevented the Office of the Registrar from being able to identify students in need of intervention in a timely fashion. In response, we have developed an add-on program to the DARS 3.54 program (widely used by all California higher education segments) that allows the office to automate much of the degree clearance process.

The Batch Degree Audit Functionality

- **Automated Degree Clearing:** The program checks student transcripts against the degree requirements for their major in order to clear those degrees. Students who meet graduation criteria are cleared, and staff does not need to work further on those audits.
- **Batch Report:** The program provides a report for each student when criteria are not met or there is some other issue that prevents clearing, including specific reasons the degree is not cleared.
- **Alternate Evaluations:** Along with final degree checks, the program enables preliminary evaluations at the beginning of the quarter that can identify which students will or will not graduate if they successfully complete all work-in-progress. It also enables batches for other populations, from which data can be queried for other purposes, such as running all juniors to find out what degree requirements they are still missing.

The screenshot below provides a sample of the batch degree audit output. In the output, the “Archived” field shows a “Y” for students whose degree is 100% complete and that the system was able to archive automatically, and an “N” for students who had one or more issues that needed to be resolved. In cases with issues, the “Error Message” field tells us exactly why the student did not clear. Sometimes the problem is strictly internal, such as, “The units between the audit and iSIS are different.” In a case like this, the audit is showing that the degree is complete, but there is a mismatch between the data in the audit system and the SIS. This usually happens when the degree audit has picked up on a case of duplicate matriculation (a student receiving duplicate credit for repeated coursework) that was missed by other checks, so Registrar staff can simply correct the unit error in the SIS, and the student will be cleared automatically the next time the batch is run. In other cases the student may need to take action, such as, “The major, PRBIO-BA, is a pre-major,” (student needs to petition to move to the full major) or, “Dars

evaluated the degree as incomplete,” (student needs to meet with an academic advisor as soon as possible to resolve any unmet requirements). Assuming the student takes the appropriate action to resolve the issue, they will be cleared automatically the next time the batch is run.

D	E	F	G	H	I	J	K	L	M	N
id	Program	Archived	Error Message							
	GLOBL-BA	N	Dars evaluated the degree as incomplete. This student has a minor, ARTHI. The unit							
	GLOBL-BA	N	Dars evaluated the degree as incomplete. Has unarticulated course work in DARS.							
	POLS-BA	N	Dars evaluated the degree as incomplete. Has unarticulated course work in DARS.							
	GLOBL-BA	Y								
	JAPAN-BA	N	The units between the audit and iSIS are different. X on Y: U C IRVINE.							
	BIPSY-BS	N	The units between the audit and iSIS are different.							
	ECOEV-BS	Y								
	ENGL-BA	N	The units between the audit and iSIS are different. Has unarticulated course work in							
	ECON-BA	Y								
	BIOSC-BS	N	The units between the audit and iSIS are different.							
	CMPCS-BS	N	Dars evaluated the degree as incomplete. The units between the audit and iSIS are							
	THTR-BFA	N	Dars evaluated the degree as incomplete.							
	BIPSY-BS	N	Awarded Status: P. Has unarticulated course work in DARS.							
	PRPOL-BA	N	The major, PRPOL-BA, is a pre-major. Dars evaluated the degree as incomplete. The							
	LC&S-BA	N	Dars evaluated the degree as incomplete. The units between the audit and iSIS are							
	ARTHI-BA	Y								
	ENVST-BA	Y								
	SOC-BA	N	Dars evaluated the degree as incomplete. The units between the audit and iSIS are							
	ECOEV-BS	Y								
	BIOSC-BS	N	The units between the audit and iSIS are different. Has unarticulated course work in							
	PSY-BA	N	The units between the audit and iSIS are different. Has UC Transfer work. Has unart							
	CHAST-BA	Y								
	GEOG-BA	N	Dars evaluated the degree as incomplete. Has UC Transfer work.							
	SOC-BA	N	Dars evaluated the degree as incomplete. Has UC Transfer work.							
	ECACC-BA	N	Dars evaluated the degree as incomplete. The units between the audit and iSIS are							
	SOC-BA	N	This student has a minor, EAPAP. The units between the audit and iSIS are different.							
	ENGL-BA	Y								

In Spring 2014, we performed the first large-scale test of the system. We processed degree verification as usual while at the same time running our batch audit system, and then crosschecked the results. We found that over 51% of students would have been automatically cleared for graduation and that the batch audit system had a lower error rate than human processing.

Together, the Integrated Waitlist and Batch Audit Degree will play an important role in easing students' path through the university.

5. Please describe any changes to policies, practices, and/or systems you will implement after January 9, 2015, that are intended to achieve the goals identified in Item 1, as well as the expected timeline for implementing those changes and the expected impact of those changes. Please include evidence of your commitment to these future changes. The purpose of this question is to understand your vision for continued improvement and innovation, not to determine how you will spend award funds if selected. As such, please list only those changes that you plan to implement regardless of whether or not you win an award. (2 pages maximum. You may include additional supporting materials in an appendix labeled Appendix D, limited to 10 pages maximum.)

Complex systems that serve the entire student body need to be planned and implemented carefully, and thus for both the Integrated Waitlist and the Batch Degree Audit, we have planned implementation in stages. Students and faculty have access to improved functionality for Winter 2015 registration, and the system will continue to be updated according to student, staff, and faculty feedback. Now that we have done major testing of the Batch Audit system, in 2015 and beyond we will also make fuller use of the added capabilities the new system provides and add further capabilities to the system. Our commitment to development is evident through the workgroups that continue to meet and discuss these systems, as well as the staff time devoted to the programs (Discussed more fully in sections 8 & 9).

Integrated Waitlist Full Functionality Phase Enhancements

The ability to auto-add students to courses through the waitlist has already begun to prove its value to instructors and students, but this feature will improve further by providing instructors the ability to select add criteria. Instructors who wish to use more than a student's position in line on a waitlist can prioritize by class, major, total units, course repeats, or any combination of these criteria. This will allow instructors to maintain the level of control over course enrollment they have when manually managing their courses. In the beta phase, faculty either had to relinquish this control and rely primarily on a first-come-first-serve criterion or continue to manually distribute add codes. It also allows students to see the criteria ahead of time so they can better gauge their odds of getting in the course. For example, a Sophomore non-major may see that waitlisted students will be ranked based on class standing and major and plan for the increased likelihood they will not be enrolled. (See Appendix D for examples.)

In addition we will work to integrate cross-listed courses. Currently, the system splits a course's seats across listings and cannot reconcile open seats across those listings (i.e., a course with 40 seats listed in two departments would get twenty seats for each listing). If the listing fills in one department but not the other, the system cannot automatically send students to the listing with open seats. Thus one listing may be full with a waitlist while another can have open seats ready to be filled by any student who wishes to register—in effect, and unintentionally, cutting in line. Professors will also be able to see more student data on the waitlist screen in eGrades (including students' eligibility for the course and explanation if ineligible), and professors will be able to communicate with students on the waitlist directly from eGrades. Later in 2015 we will add the ability for students to see their position on the waitlist on GOLD, and instructors will have the ability to choose when the waitlist deactivates.

Batch Degree Audit

In 2015 we will continue to add capabilities to the system, in particular the ability to evaluate degrees for students with minors and double majors, who make up 22% and 7.55% of our undergraduates, respectively. It is estimated that about half of these students could be cleared for graduation via batch processing, but presently staff manually performs degree evaluations for these students. Work is currently underway, and initial development should be completed within a year. Testing and campus consultations are expected to take another 1-2 years. When completed, this will allow us to further cut processing time by approximately 5% and to contact students at risk in a more timely way.

We will also make fuller use of the added capabilities the new system provides. We will be able to run a preliminary evaluation at the beginning of the quarter that will tell us whether or not the student is on track to graduate if they successfully complete all work-in-progress, so that we can reach out to them very shortly after they file the petition to graduate. We can also run batches for other populations and query the data for other purposes, such as running all juniors to find out what degree requirements they are still missing. We expect to be able to reduce the percentage of undergraduates who petition to graduate and then fail to meet all degree requirements (known on our campus as NILS students) from about 9% currently to 4% over the next 4 years. Furthermore, reducing the NILS rate will have an important impact on underrepresented minorities and transfer students who are disproportionately present on the NILS list, as discussed in section 2.

Furthermore, we will extend our collaborations with departments and offices. We generated batch audit data for the UC Education Abroad Program (EAP), which they are using to learn what EAP courses UCSB students are successfully applying to their major and GE requirements with the goal of better advising students who intend to study abroad. We will be working with them during Winter and Spring 2015 to flesh out their use of the batch audit data. (See Appendix D.)

We are also beginning discussions on our campus about extending this application of the batch audit data to transfer work from other UCs, CSUs, and CCCs with whom we do not have standing articulation agreements. The Batch Audit Degree script may serve as the basis for a self-assessment tool for students interested in transferring to UCSB as well. This would not only enable us to more accurately advise students, more quickly evaluate incoming transfer work, encourage enrollment across campuses, and possibly make the case for more formalized articulations; it would also empower students to more effectively chart their own academic paths.

These developments will all help to reduce administrative labor and costs, allowing staff to devote more time to students. They will also allow students to plan better by increasing their ability to get needed courses, by being able to more accurately track their degree progress, and by enabling early intervention strategies that support students as they begin to veer off course, particularly those students who do not specifically seek out academic advising resources and are therefore more likely to fall through the cracks.

6. Please discuss how the changes described in your responses to the previous items will impact the average cost to award a bachelor's degree, considering costs borne by the state, the participants in the application, and students, as well as the magnitude of that impact. (1 page maximum. You may include additional supporting materials in an appendix labeled Appendix E, limited to 5 pages maximum.)

The changes described in the previous sections will create savings through increased efficiency and a reduction in enrolled quarters for students. As mentioned, the waitlist saves considerable instructor and staff time. In Fall 2014, with even limited adoption and only beta functionality, over 11,000 students were auto-added to courses. This saved the campus at least 550 hours in just the first quarter, a theoretical savings of over \$19,433. (See Appendix E for calculations.) In practical terms, this frees up a great deal of faculty and staff time in the early part of each quarter (when student demand for assistance and advising is heavy) to deal with more substantive issues, by dramatically decreasing the busywork of enrollment management.

Furthermore, the system allows timelier data on course demand and so departments can allocate resources more efficiently. Instead of opening new sections only to have them half-full, or refraining from opening additional sections for fear they may go unfilled, departments can accurately gauge demand and open sections with fewer empty seats. As was mentioned in section 4, during Fall 2014, 26 courses in over fifteen academic departments were opened due to proven waitlist demand, many of which were bottle neck courses like Calculus. By reducing bottlenecks in gateway courses, hundreds of students were kept on track for degree completion who might otherwise have begun to fall behind. While it will take time to observe how departments will change their course scheduling practices and to understand the full impact to campus costs, the new integrated waitlist system is already proving to have a positive impact.

The Batch Degree Audit will show significant saving through increased efficiency. When we ran our first large-scale test of the batch audit system in Spring 2014, we found that 51.8% of Spring graduates could have been automatically cleared by the system with no manual intervention whatsoever. This will reduce our campus's undergraduate degree clearance workload by an estimated 40%. With four full-time staff devoted to this work, we can almost entirely redirect two staff members to other projects.

The reduction of student time-to-degree both programs promise also stand to offer significant savings. Assuming better course availability will save many students one extra quarter, the per student savings to the state would be \$2,363, \$870 to the institution, and \$2,787 to the student: A total of \$6,020 per student. Estimating from current graduation rates and time-to-degree, if students who currently enroll for more than four years save even just one quarter, the state could save \$1,985,200, the institution \$730,800, and students \$2,340,800, totaling over \$5 million. (For cost estimates, see pp. 55-6 of the University of California's 2015-16 budget. The relevant pages are also in Appendix E.)

We can also provide an estimate for savings in the case of the NILS rate. The drop in NILS rate is not entirely due to the implementation of student generated degree audits, and the Batch Degree Audit has not been in place long enough determine its full effect. However, we can estimate that if the NILS were at the targeted 4% in 2013 rather than 8.74% the state would have saved \$635,736, the institution \$234,030, and students \$749,614 for a total of more than \$1.6 million over the status quo.

7. Please describe any risks or tradeoffs involved in the changes you are implementing and the way in which you will monitor and mitigate them. In particular, please address any potential adverse effects on student groups that are underrepresented in higher education. (2 pages maximum.)

The major risk in these projects is effective implementation both as university procedure and technologic infrastructure. The effectiveness of both the Integrated Waitlist and the Batch Degree Audit, like all digital innovations, could be severely hampered by system bugs, data corruption, hacking, and power failures. However, course enrollments and degree auditing have been managed electronically and over networks for many years, and the Office of the Registrar and UCSB have robust protocols to protect against hacking, data corruption, and other unforeseen events such as power failures. As a result, creating new digital resources does not create significant new risks. System bugs or other software malfunctions are a higher level of concern, particularly with systems that will automate significant portions of important processes. In both cases, we took appropriate measures and dedicated significant time, manpower, and testing to ensure that the systems worked well prior to wider release.

For the Integrated Waitlist, we began with a limited rollout of a beta version, which allowed us to identify system glitches as well as receive feedback from faculty, students, and staff on ways to improve functionality. It also provided the opportunity to gauge impact on the campus technological infrastructure.

The Batch Degree Audit has similarly been tested before full use. The development process included many small-scale tests throughout the process as well as a large-scale test in Spring 2014. In this side-by-side comparison of the Batch Audit system versus the existing manual system for awarding undergraduate degrees, we found that while the positive error rate for undergraduate degree processing was approximately 2% when processed by hand (meaning approximately 2% of students were erroneously awarded degrees for which they did not complete all requirements), the positive error rate was nearly nonexistent for degrees processed by the system. Thus staff was able to verify that the batch audit system was actually more accurate than the existing campus process. In addition, more complicated features, such as the evaluation of students who also have minors, were saved until the core system had been designed, tested, and used.

A more insidious risk to any large-scale system implementation is lack of buy-in, as users who do not understand or trust a new system will be unlikely to use it, and thus fail to realize the full potential benefits. As a result, Office of the Registrar has worked closely with the colleges and academic departments to promote use of both systems, and several campus departments, including College of Letters and Science Advising, Writing Program, Economics, Mathematics, and Education Abroad Program, are already using batch audit data to improve advising and/or offerings to their students. During its first quarter of beta release, the Integrated Waitlist system was enabled for nearly a third of all undergraduate courses. Both systems also make use of work groups that include representation from various constituencies on campus, and other feedback mechanisms to improve the quality of services offered, and increase overall use.

The Integrated Waitlist faces an additional risk in the possibility that it will be used inconsistently across campus. This is possible because departments and individual faculty can choose to use the waitlist or not. In addition, they can choose to use the auto-add function or continue to use add codes. Thus students are likely to experience some confusion over how to add courses after open registration has ended. This risk will be mitigated through effective

communication about the waitlist with faculty, staff, and students (see more in section 9). Though some departments and faculty may not activate waitlists immediately, we are confident that as time clarifies the positive impact most will enthusiastically embrace it.

Sustainability
(35 Percent Weight)

8. Please describe your key strengths and assets for encouraging a culture of innovation and adaptability within and across all entities participating in the application, sustaining the changes you are making and, ultimately, achieving the goals identified in this application. Please address leadership, institutional commitment, existing relationships among the application participants, and external partnerships or resources you are leveraging. (2 pages maximum. You may include additional supporting materials in an appendix labeled Appendix F, limited to 10 pages maximum.)

The Office of the Registrar is part of Enrollment and Student Academic Support Services, which is part the Student Affairs division (see Appendix F for an organizational chart). Thus we work closely with colleges, academic departments, and the faculty senate, as well as with other offices within Student Affairs. We often play a central role in bridging the gap between the University's academic, administrative, and student services functions. Furthermore, Leesa Beck, the Registrar, is a member of the Student Affairs Executive Group for 2014-2015. This is the governing body for the division, which collaborates to gauge student needs and find innovative ways to meet those needs. The division has a long-standing commitment to supporting technological innovation and using technology to improve services to students, staff, and faculty, as well as an impressive track record of successful, inter-divisional systems implementations. In just the last year, in addition to the two innovations highlighted here, we also lead the charge to implement UCSB Answers, a robust campus knowledgebase aimed at helping prospective and current students to get timelier, more consistent, and more accurate answers to their most common questions; electronic transcript sending; and improved social media and email tracking tools, among others. Previously we lead an entire rewrite of the campus's SIS from a mainframe based system to a .NET framework running on locally managed servers, the move from a paper General Catalog to an online-only Catalog, and the conversion of all student records to digital media. Student Affairs Information Systems and Technology (SIS&T) is widely acknowledged by campus leadership as the most effective and productive IT organization on the campus. (See Appendix F for more on these programs.)

Because the policies, practices, and technologies implemented by the Office of the Registrar have such far-reaching impact on the campus community, we collaborate closely with colleges and academic departments. A working group comprised of representatives from faculty, staff, and students, for example, formulated all functional requirements for the Integrated Waitlist. The workgroup will continue to meet on a monthly basis to address problems and find ways to improve the system.

Likewise, the Batch Degree Audit system is overseen by the DARS work group that meets monthly. The group includes a representative from the Office of Admissions, Office of the Registrar, Student Information Systems and Technology, College of Letters and Science, College of Engineering, Graduate Division and academic departments. The broad campus representation of both working groups allows us to uncover barriers to student success and vet challenges that arise in a short timeframe.

While all of the above demonstrate the campus's commitment to broad collaborative efforts to implement technologies that will benefit students, technology quickly becomes obsolete without resources to maintain and improve it. Though the campus in general and the

Office of the Registrar specifically have faced severe budgetary challenges in recent years, we have a firm commitment to maintaining and expanding our technological resources. We subscribe to the Divisional philosophy that technology plays a critical role in reducing workload such that budgetary challenges can be weathered without undue negative impact to students.

9. Please describe your strategies for engaging stakeholders (such as students, faculty, other education agencies or institutions, community members, and business leaders) and achieving commitment to the goals described in Item 1 and the changes to policies, practices, and/or systems described in the items in the Innovations section. (1 page maximum. You may include additional supporting materials in an appendix labeled Appendix G, limited to 10 pages maximum.)

In order to increase visibility and engage stakeholders and the campus community in our programs, we reach out to the campus and keep faculty, staff, and students up-to-date on developments. This is done partly through the work groups discussed in the previous section, but we also find more direct ways of engaging with the campus.

Before launching the Integrated Course Waitlist System, and throughout its early adoption phases, we have been offering a variety of trainings and other communications directed at students, faculty, and staff. (See Appendix G for more on the consultations and trainings.) In addition, the Office of the Registrar has offered customized trainings to individual departments.

The campus has a long-standing workgroup and steering committee that oversees the degree audit process, including the new Batch Degree Audit. Information on the progress of the batch degree audit project has been shared with the campus community at several large trainings held by the Office of the Registrar for academic advisors and business officers in the colleges and academic departments. We have also worked very closely with the College of Letters and Science Advising office to test the system and improve and expand its functionalities. In addition, we have been working directly with several academic departments to find ways to use the system to improve student advising, communications to students, and departmental resource planning.

Lastly, the UCSB Office of Registrar is committed to contributing back to their profession through sharing their innovations with others who could also benefit. During the earlier stages of their Batch Degree Audit project, we presented a session at the Pacific Association of Collegiate Registrars and Admissions Officers (PACRAO) Annual Meeting on using batch degree audit processing both for degree clearance and for data mining. This session generated a great deal of interest, and we have been asked to return in a subsequent year to discuss our results. In addition, we have been working with registrars at the other UCs to create a UC system-wide network of degree audit professionals, who could work to expand the use of these types of innovations to other UC campuses.

10. Please describe how the changes described in this application will be sustained within your existing financial resources. (1 page maximum.)

Integrated Course Waitlists

Initial development of the waitlist system was funded in part by the College of Letters and Science (using funds specifically earmarked for technological innovations benefitting students), and in part by the Division of Student Affairs (using existing Registrar technical resources). This collaborative funding agreement will go on for a total of two years, which should give sufficient time for the system to be largely perfected and stabilized. After that time, the system will continue to be maintained by the Registrar technical team and has been factored into their regular systems maintenance cycle. We expect the modest ongoing system maintenance workload to be offset by the substantial functional workload savings to the campus.

Batch Degree Audit

The Division of Student Affairs has funded all initial and ongoing development for the batch degree audit system using existing Registrar technical resources. Once the system is fully functional, the modest ongoing system maintenance workload will be more than offset by the substantial functional workload savings within the Office of the Registrar.

An Ongoing Paradigm Shift

In addition to freeing up resources to provide ongoing maintenance, the implementation of these systems should also allow for the development of further systems which will continue to improve services to students. Functional experts whose degree processing workloads have been reduced can shift their foci to assisting with business process analysis for future projects, and with a strong technological framework in place, these projects can go more swiftly and smoothly. Building on the existing degree audit functionality, the campus could ultimately use these resources to expand degree audit out to the community colleges, allowing students considering transfer to UCSB to better understand how their CCC courses would ultimately apply to their degrees, and ease the academic impact of “transfer shock.” This would, in turn, ease the advising burden to the campus for new transfers, creating more workload savings. If leveraged properly, technology, though costly to implement initially, will more than pay for itself over the long-term.

Evaluation

(15 Percent Weight)

11. Please describe how you will evaluate—both quantitatively and qualitatively—whether the changes described in your responses to the items in the Innovations section will achieve the goals identified in your response to Item 1 and how you will use this feedback to inform future changes. Please include at least three specific quantitative measures you will monitor regularly, including at least one measure that can be observed and used to gauge progress in the near term (fewer than four years) and at least one measure that will reflect progress over the long term (four years or more). (1 page maximum.)

We expect the innovations described in this application to improve course management and improve resource planning, thereby decreasing time-to-degree and allowing a greater number of students to enroll at UCSB. In addition, these innovations will allow staff to provide timelier information to students regarding their degree progress. We will routinely collect the following data:

- Integrated waitlist
 - Increase # of impacted courses using the waitlist system
 - Increase % of courses using the auto-add functionality
 - Increase # of sections added by departments
 - Reduce time faculty and academic advisors spend on adding process (focus group of key staff)
- Batch processing
 - Decrease notification time to students not cleared for graduation in declared quarter
 - Decrease # of students not graduating in quarter for which they declare
 - Decrease staff time performing degree clearance

This combination of qualitative (focus group) and quantitative data will provide comprehensive information needed to assess the quality and utility of these innovations. We will present data to the functional workgroups on a quarterly basis to determine progress and make recommendations for any needed improvements. Through formative evaluation, we hope to identify key benchmarks and milestones indicating progress toward program goals by using the following iterative process of evaluation:

Data collection will be supported by UCSB’s Office of the Registrar and Institutional Research and Planning to verify the extent to which the innovations are successful in meeting goals and objectives. Outcomes will be measured to assess postsecondary graduation. Measurable objectives delineated will serve as standards for evaluation.	Define measurable objectives (see Table in Question #12)
	Identify and review indicators to determine which outcomes were achieved
	Evaluate the degree to which the outcomes have been achieved (create report card)
	Use these data to inform decision making

12. Please list your target outcomes for each academic year through 2018-19 for the measures identified in your response to Item 11, including targets for the student groups that are underrepresented in higher education. Please provide the most recent baseline measures for each target outcome for each participant in the application and identify which academic year that data reflects. You may use a table to reflect this data. Please also provide a narrative that explains how you chose your targets, including assumptions used and evidence you have to support those assumptions. Please identify your data source or provide enough information about how the data is generated to allow other entities to replicate the measures. (2 pages maximum, including any table produced. You may include additional supporting materials in an appendix labeled Appendix H, limited to 10 pages maximum.)

The two innovative, technological approaches outlined in this application are intended to improve course management and resource planning and decrease the number of students who do not graduate in the quarter for which they declare intention. We anticipate that these outcomes will enable students to graduate more quickly.

The targets displayed for Goal 1 below are based on the assumptions that as faculty and departments become familiar with the Integrated Waitlist System and see how much time and resources it can save them, they will use the system more consistently. Baseline data has been collected during the beta-functionality phase for objectives 1.1, 1.2, and 1.4 during the Fall 2014 quarter. The data point to promising usage of the waitlist system as 25% of undergraduate classes had active waitlists. In addition, 51.7% of requests on waitlist were resolved by auto-add, a key feature of the new system, and 15 departments opened 26 additional sections due to waitlist demand. Baseline data for objective 1.3—faculty and advisor time—will be collected in Winter and Spring 2015, but anecdotal evidence already shows a great reduction in advisor and faculty time.

As training for faculty, staff, and students occur over the remaining part of the 2014-2015 academic year and full functionality comes online (Winter 2015), we expect more faculty members to use the waitlist system, enable auto-add with their criteria, and increase the number of departments using waitlist data to help with decisions about course offerings.

Goal 1: Improve students' ability to get the courses they need when they need them and to better plan their path to degree.						
Objectives & Measures	Data Source	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019
1.1 Increase number of impacted courses using waitlist system to 100% by 2018-19	Registrar	69% (Fall only)	70%	80%	90%	100%
1.2 Increase use of auto-add system in active-waitlist courses to 95% by 2018-19	Registrar	86% (Fall only)	88%	90%	92%	95%
1.3 Reduce time faculty and academic advisors spend on adding process by 90%	Registrar	Baseline data for targets will be collected	60%	70%	80%	90%
1.4 Increase number of sections opened due to waitlist demand to approximately 50 per quarter	Registrar	26 (Fall only)	75	100	125	150

The targets displayed for Goal 2 below are based on the assumptions that as staff become more familiar with the system, academic advisors and other administrators will be able to identify students at risk for failing to complete their degrees. This would enable timelier communication and interventions. Baseline data will be collected during the beta and full functionality phases for objective 2.1 during the 2014-2015 academic year. Please note explanation regarding decrease in target from 2014-2015 to 2015-2016 in table below.

Preliminary baseline data for objective 2.2 reveal that utility of the added capabilities of the system will allow advisors and administrators to come across problems much sooner. In addition, we will be able to run a preliminary evaluation at the beginning of the quarter, which will tell us whether or not the student is on track to graduate. Lastly, we estimate that half of students with minors and double majors could be cleared for graduation via batch processing. Experience and improved capabilities will decrease notification time as noted in targets in table below.

Preliminary baseline data for objective 2.3 indicate that more than 8.5% of students who submit an intention to graduate are not cleared. A little over 36% of students who were unable to graduate in the quarter for which they petitioned were underrepresented minorities even though they make up just 29% of the student population. Furthermore, 41% were transfer students despite representing only 25% of enrolled students. The improved capabilities will provide underrepresented students with early notification such that they would be more likely rectify transcripts problems or any other issue highlighted by audit. Because underrepresented students are more likely to be transfer students and since transfer students are even more likely to be on the NILS list, reducing the rate of transfer students on the list would also reduce the number of underrepresented students on the list.

Goal 2: Decrease number of students who do not graduate in quarter for which they declare intention						
Objectives & Measures	Data Source	2014-2015	2015-2016	2016-2017	2017-2018	2018-2019
2.1 Decrease processing time for degree clearance	Registrar	51%*	40%	45%	50%	55%
2.2 Notify students of transcript issues that may delay graduation within one week of their intention to graduate	Registrar	Rolling-basis: Between 1-12 weeks	Rolling-basis: Between 1-8 weeks	Rolling-basis: Between 1-5 weeks	Rolling-basis: Between 1-4 weeks	Within one week
2.3 Reduce NILS (UCSB's Office of Registrar's term for students whose degrees are not cleared) rate to 4%	Registrar	8.74%-All students	8%-All students	6%-All students	5%-All students	4%-All students
		4%-Under-represented students	3.5%-Under-represented students	3%-Under-represented students	2.5%-Under-represented students	2%-Under-represented students

** Data from Spring test only. Degree clearance typically takes longer in Fall and Winter quarters because students graduating in these quarters tend to have more transcript issues to resolve.*

Appendix A

Letter of support from EVC

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

UCSB

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

Office of the Executive Vice Chancellor
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Santa Barbara, CA 93106-2035
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Facsimile: (805) 893-7712

January 8, 2015

Dear Awards for Innovation Committee:

I am pleased to support the application to the "Awards for Innovation in Higher Education" program submitted by the Office of Education Partnerships at the University of California, Santa Barbara. We have been working to use new technology to improve the educational experience of our students and to improve graduation rates and decrease time to degree. The Integrated Waitlist and Batch Degree Audit programs described in the application are excellent examples of how we have used technology in innovative ways to address obstacles that often delay student progress. These systems already have begun to prove their value to the university. Our entire university community benefits from powerful new programs that help students enroll in needed courses in a timely manner, facilitate degree verification, and improve student outcomes. We hope to use new resources to build on this foundation and find other creative ways to advance important goals that not only improve the educational success of individual students but (by improving time to degree and graduation rates) allow more students from our state to receive a University of California education. I offer this application my very strong support. Please let us know if more information is needed.

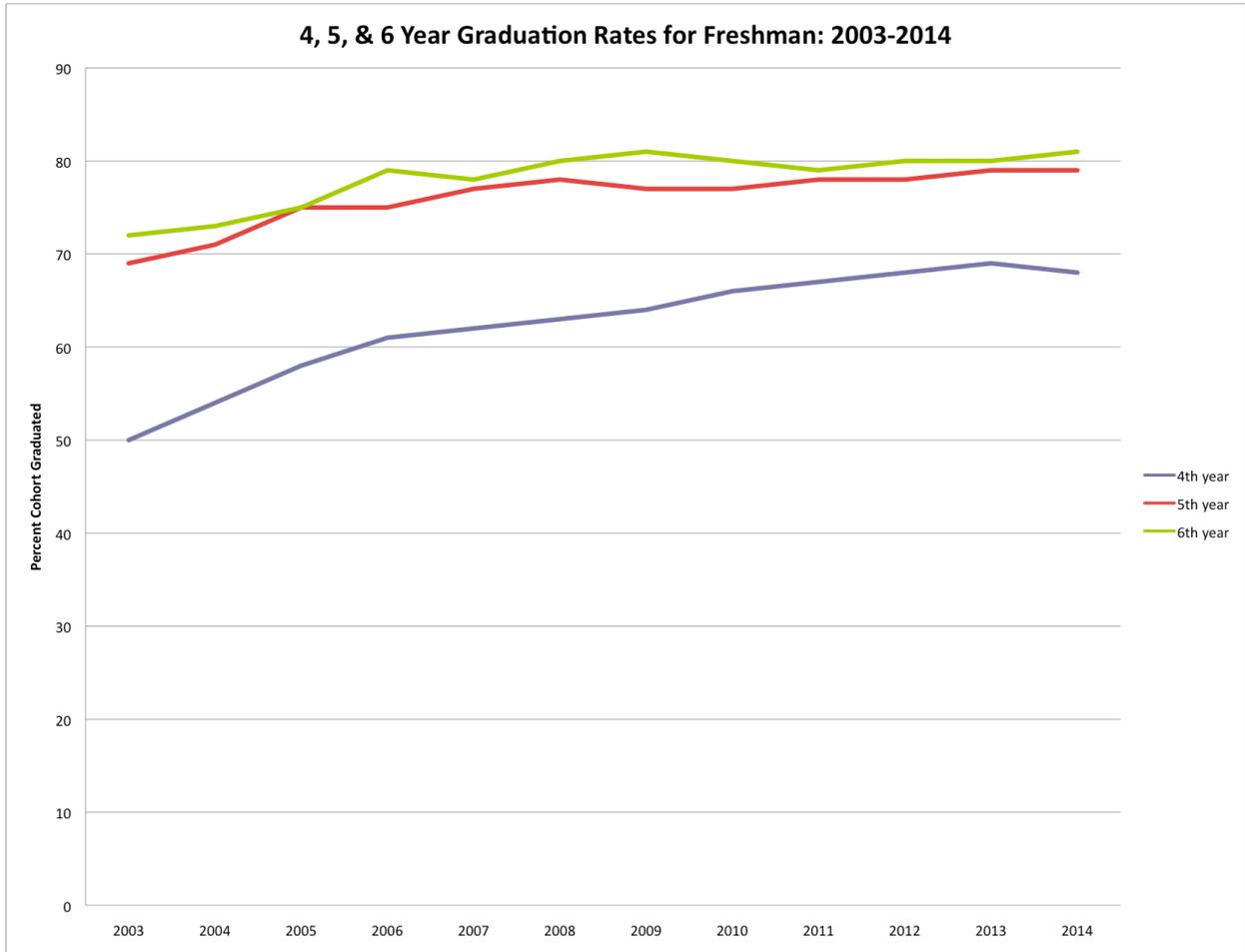
Sincerely,

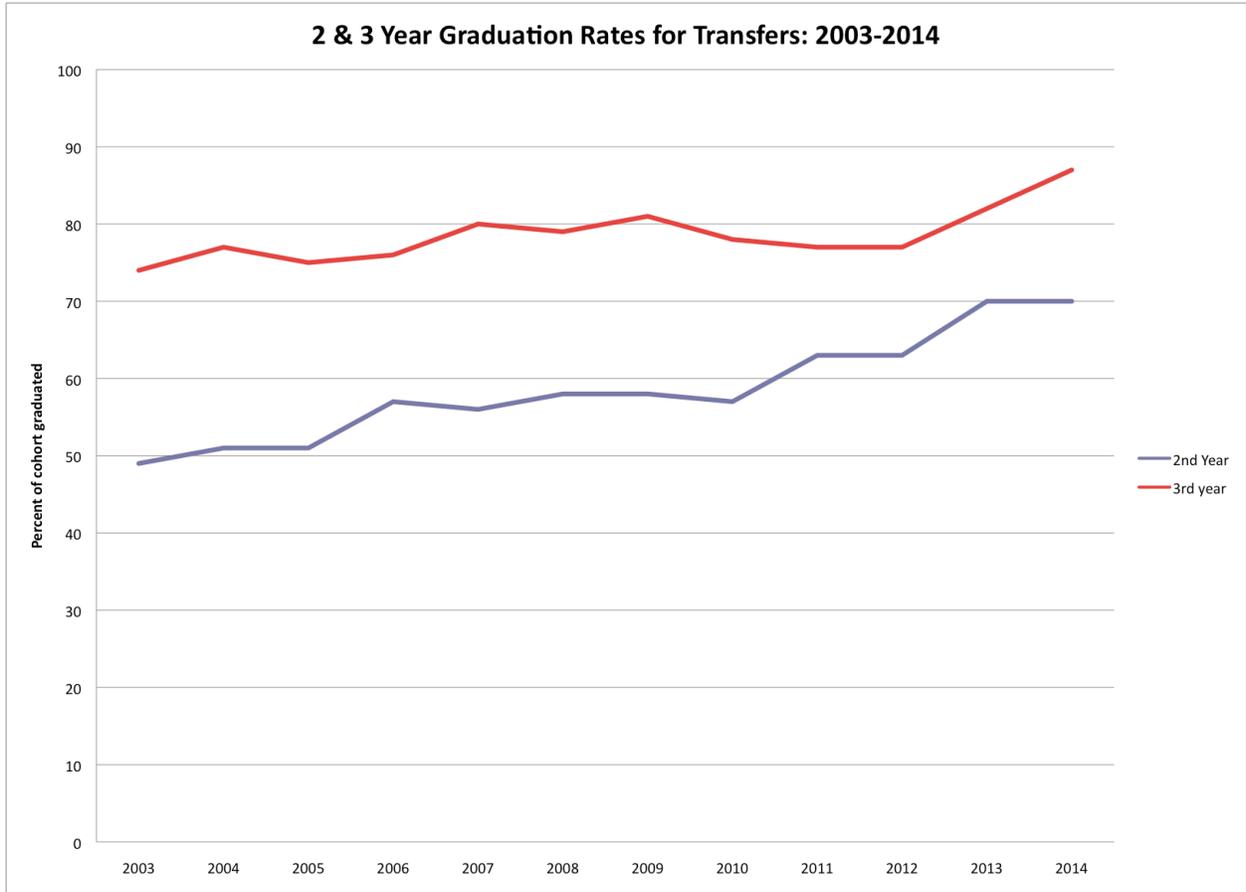
A handwritten signature in black ink that reads "David Marshall".

David Marshall
Executive Vice Chancellor

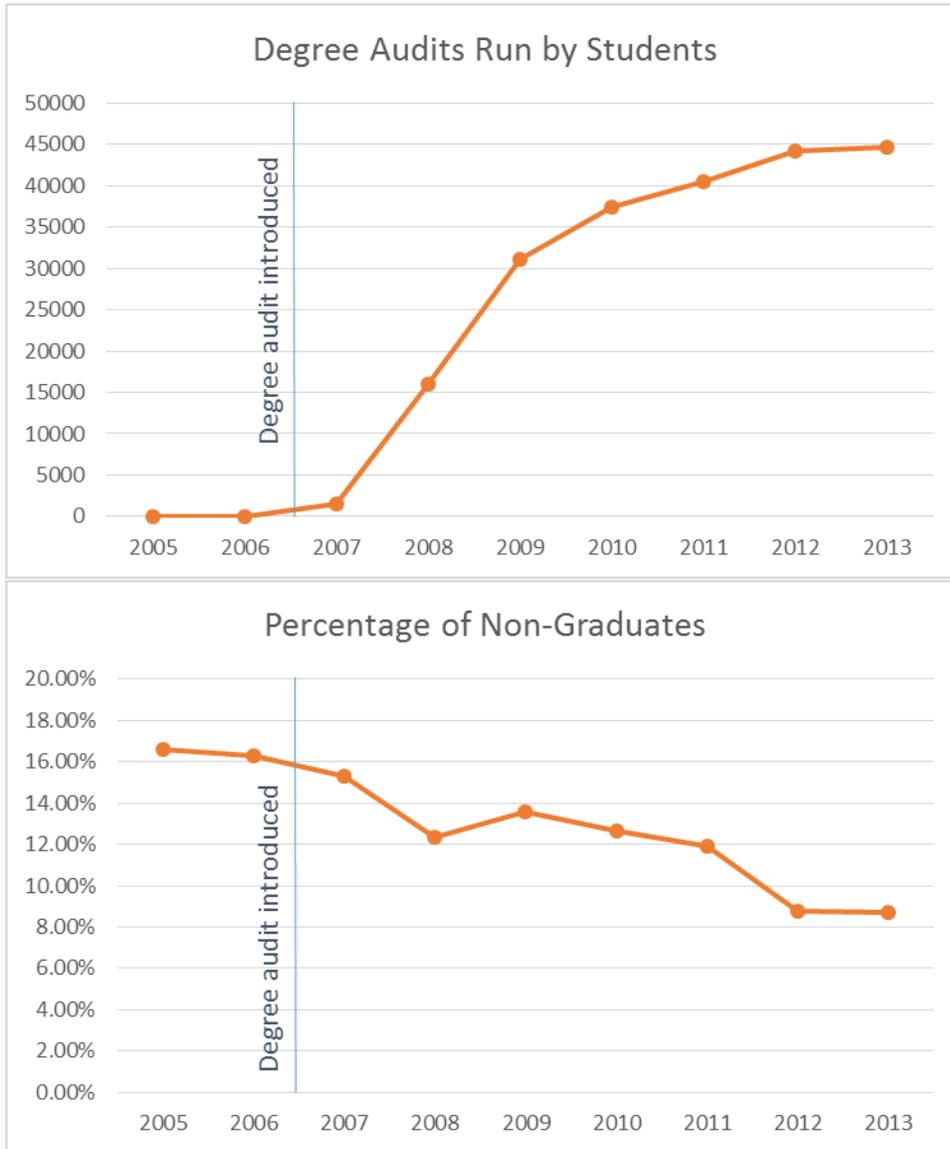
Appendix B

B.1 UCSB graduation rates and time-to-degree over time



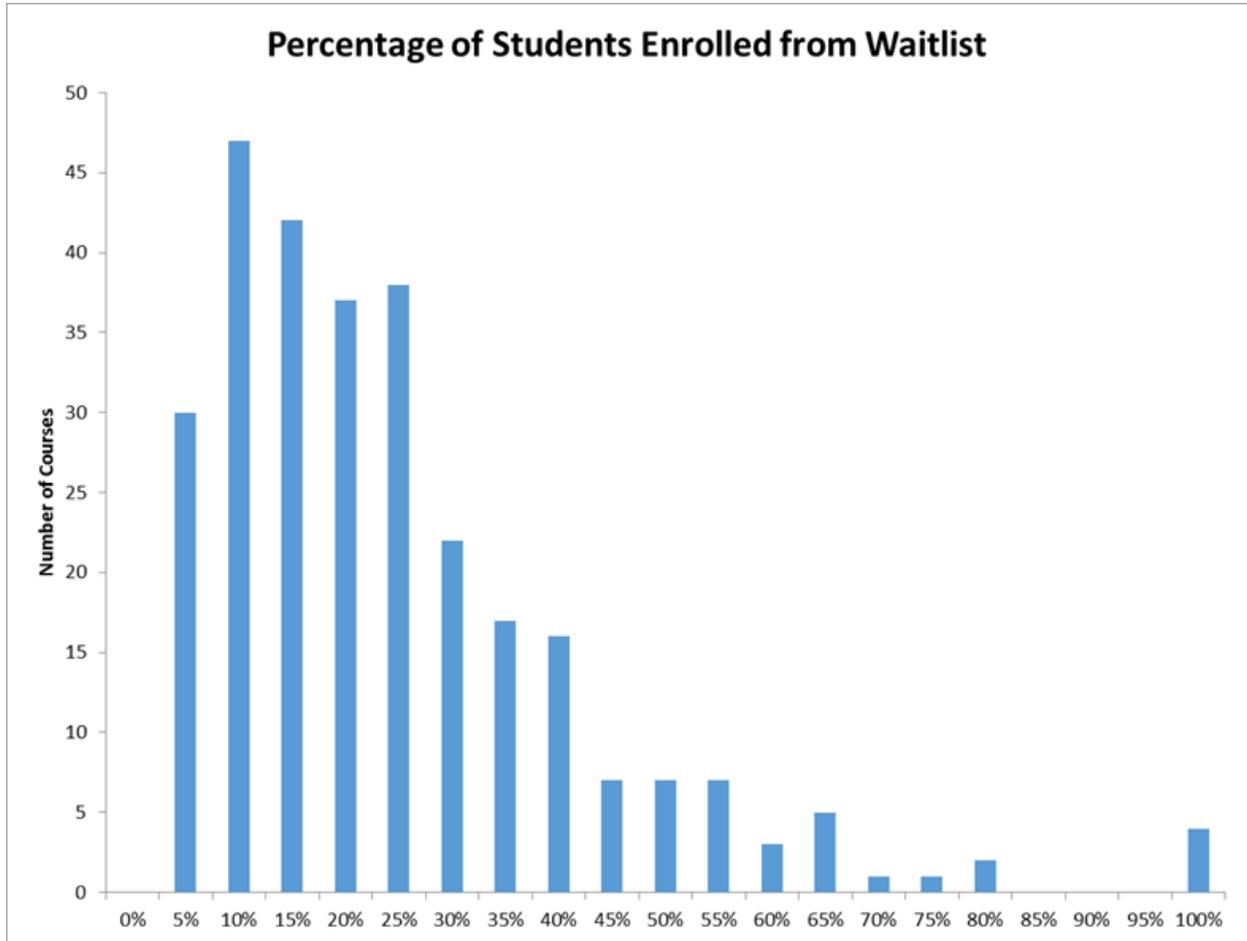


B.2 Student Run Degree Audits and Decline in Non-Graduates



Appendix C

C.1 Waitlist share of enrollment



On average, almost 23% of a course’s enrollment comes from waitlisted students. The efficacy of the waitlist thus has a significant effect on student experiences.

C.2 Batch Degree Audit system user interface screenshot

Process Batch

Batch Options

Quarter:

Post Audit Action:

Comkey:

Population: Graduating
 Undergraduate

Test Only:

Filter By Program:

ACTSCBS
 ANTH-BA-1
 ANTH-BA-2
 ANTH-BA-3
 AQBIQ-BS
 ART-BA
 ARTCS-BA
 ARTH-BA
 ARTIUD-BA-2

Use Default Program
 Force DARS Program:

Use Default Year
 Force Year:

Batch Status

Batc...	RunningStatus	Counts
366	Generating Batch Information Er...	1 of 0 (1)
367	Ended With Success	20007 of 20007 (3)

Log

Done!
 [12/18/2014 9:32:59 AM] Retrieving list of batches...

Appendix D

D.1 Waitlist setup screen demonstrating auto-add criteria options

Departmental Waitlist for MCDB 1AL

Settings
Waitlist

Below are the departmental waitlist settings for this course. Please note the settings below will apply to all instances of this course in the current quarter. These settings are defaults, but may be overridden at a lower level by instructors. The ability of an instructor to overwrite these settings may be turned off below, if necessary, by setting 'Allow Instructor Modification' to 'No'.

Enable/Disable Waitlist

Enable Waitlist: Yes No

Allow Instructor Modification: Yes No

Disable Auto-Add From Waitlist:

Waitlist Type: First Come, First Served Criteria Based

Available Criteria

[Major](#)

GPA

Total Units

[Repeat](#)

→
←
<-- -->
→
←

Selected Criteria

[Major](#)

Total Units

Waitlist Notes:

Return to List of Courses
Save Changes

D.2 Active Waitlist within eGrades (faculty course management), demonstrating student data available to faculty (student names redacted).

Departmental Waitlist for MATH 6B

Settings | **Waitlist**

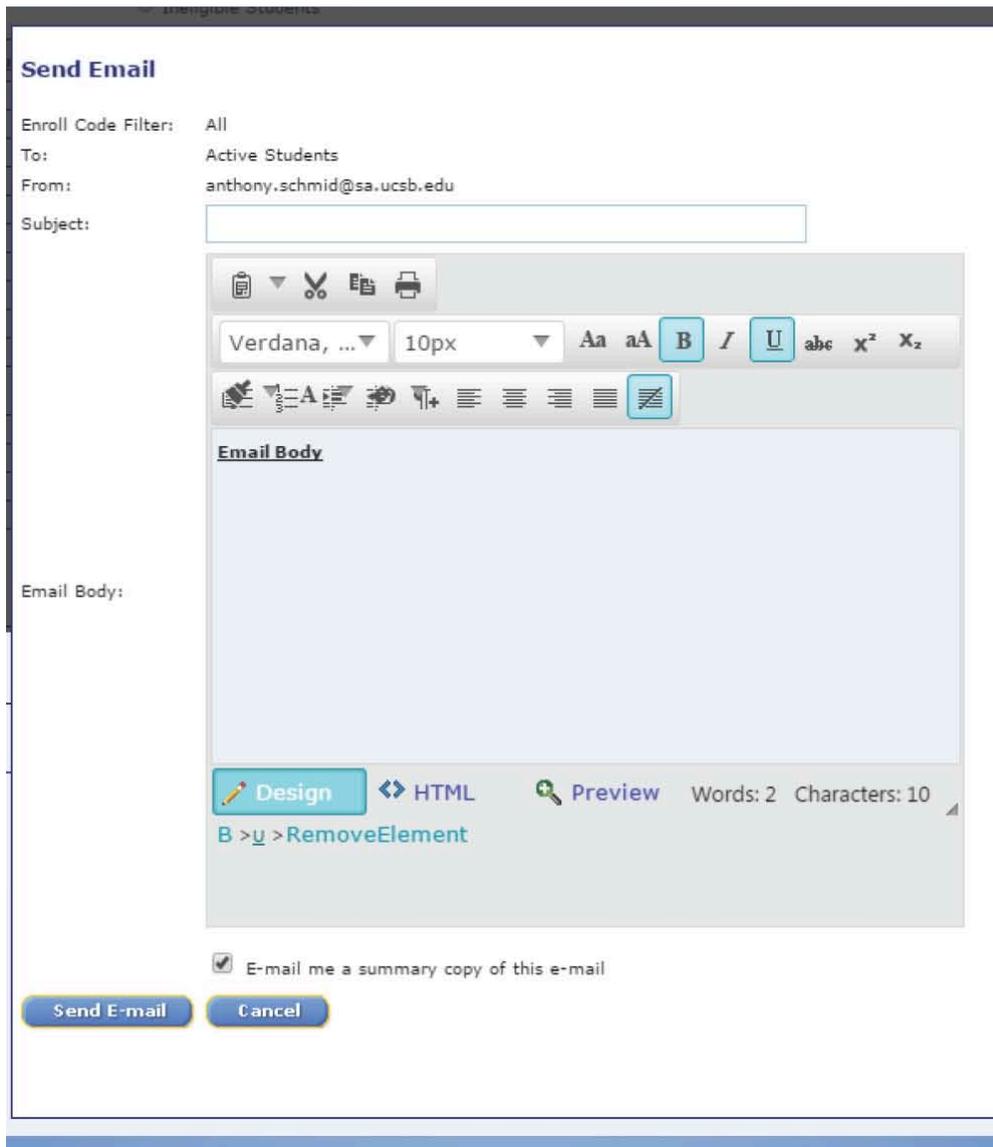
Enroll Code Filter: All

Eligibility Filter: All Students
 All Active Students
 Eligible Students
 Ineligible Students

Pstn	Perm	FirstName	LastName	Eligible	Status	ClassLevel	GPA	Major(s)	Email
1	598653			True	Active	Senior	2.14	SOC	@umail.ucsb.edu
2	702312			True	Active	Senior	2.50	PRECA	@umail.ucsb.edu
3	350663			True	Active	Junior	3.06	UNDEC	@umail.ucsb.edu
4	369979			True	Active	Junior	2.98	UNDEC	@umail.ucsb.edu
5	937156			False	Active	Limited	0.00	UNDEC	@umail.ucsb.edu
6	713500			True	Active	Sophomore	3.12	UNDEC	@umail.ucsb.edu
7	679657			True	Active	Sophomore	2.75	UNDEC	@umail.ucsb.edu
8	598050			False	Active	Junior	2.50	PRFMS	@umail.ucsb.edu
9	783535			False	Active	Junior	0.00	ACTSC	@umail.ucsb.edu
10	543562			True	Active	Senior	2.73	PHIL	@umail.ucsb.edu
11	753729			True	Active	Senior	3.56	PRECM	@umail.ucsb.edu
12	627438			False	Active	Senior	3.04	PRMTH	@umail.ucsb.edu
13	662707			True	Active	Senior	3.65	ECON PRFMS	@umail.ucsb.edu
14	743841			True	Active	Junior	3.80	CHEME	@umail.ucsb.edu
15	645498			True	Active	Senior	3.40	BIOCS	@umail.ucsb.edu

[Return to List of Courses](#)
[Send E-mail to This Group](#)
[Export List](#)

D.3 Waitlist communication tool within eGrades



D.4 Batch Audit System – Future Innovations:

The UC Education Abroad Program (UCEAP) is working with us to begin using data generated by our batch degree audit system to do better, more targeted advising and articulations for students interested in studying abroad. Here is a sample of batch audit data we provided to them:

Perm	Major	Year	Qtr Taken	Course	Units	EAP_Center	Start Yr	Start Qtr	Thru Yr	Thru Qtr	Area
	POLS-BA	2010	F	POL SEAP100	4.5	261	2010	M	2010	F	Major
	POLS-BA	2010	F	C LITEAP 50	4.5	261	2010	M	2010	F	GE Area G
	POLS-BA	2010	S	POL SEAP150	4.0	63	2010	W	2010	S	Major
	POLS-BA	2010	S	POL SEAP159	3.0	63	2010	W	2010	S	Major
	POLS-BA	2010	S	POL SEAP172	3.5	63	2010	W	2010	S	Major
	POLS-BA	2010	S	POL SEAP173	3.5	63	2010	W	2010	S	Major
	POLS-BA	2010	S	POL SEAP194	4.0	63	2010	W	2010	S	Major
	POLS-BA	2010	S	POL SEAP150	4.0	89	2010	F	2010	F	Major
	POLS-BA	2010	S	POL SEAP159	3.0	89	2010	F	2010	F	Major
	POLS-BA	2010	S	POL SEAP172	3.5	89	2010	F	2010	F	Major

Using this, they were able to create a front-end tool that allowed UCEAP advisors to look up course information on past students by country, major, or degree requirement satisfied:

Country of Study

- ARGENTINA
- AUSTRALIA
- BARBADOS
- BOTSWANA
- BRAZIL
- CHILE
- CHINA
- COSTA RICA
- DENMARK
- FRANCE
- GERMANY
- GHANA
- HONG KONG
- INDIA
- ISRAEL

Major

- ANTH-BA-1
- ANTH-BA-2
- AQBIO-BS
- ART-BA
- ARTHI-BA
- ARTHI-BA-3
- BIOSC-BA
- BIOSC-BS
- BIPSY-BS
- BLKST-BA
- BUSEC-BA
- BUSEC-BA-1
- CDBIO-BS
- CHAST-BA
- CHEM-BA

Articulation Degree Req

- GE Ethnicity
- GE Euro Trad
- GE Non-West Cultures
- GE Writing
- Major

This information could be used to populate a database similar to that pictured below, which would aid in advising other students about how coursework taken abroad might apply to their degrees, and to determine what courses might warrant more formalized articulation agreements.

Country of Study ▲	Major	Articulation Degree Req	Course	Units	Quarter Taken	Start Quarter	Thru Quarter	
ITALY	GLOBL-BA	Major	ARTHSEAP158	6	20112	20103	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP114	6	20104	20103	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP132A	6	20103	20103	20112	Details
ITALY	GLOBL-BA	Major	POL SEAP125	6	20104	20103	20112	Details
ITALY	GLOBL-BA	Major	INTL EAP125	6	20104	20104	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP114	6	20104	20104	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP132A	6	20103	20104	20112	Details
ITALY	GLOBL-BA	Major	SOC EAP126	4	20112	20104	20112	Details
ITALY	GLOBL-BA	Major	EUR SEAP175B	4	20112	20111	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP 4	6	20104	20111	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP 5	6	20104	20111	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP 6	6	20104	20111	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP124	4.5	20104	20111	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP 6	6	20104	20111	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP124	4.5	20104	20111	20112	Details
ITALY	GLOBL-BA	Major	POL SEAP172A	4	20112	20111	20112	Details
ITALY	GLOBL-BA	Major	POL SEAP175A	4	20112	20111	20112	Details
ITALY	GLOBL-BA	Major	FILM EAP129	5	20122	20121	20122	Details
ITALY	GLOBL-BA	Major	INTL EAP180A	4	20122	20121	20122	Details
ITALY	GLOBL-BA	Major	INTL EAP180B	4	20122	20121	20122	Details
ITALY	GLOBL-BA	Major	ITAL EAP 14	6	20114	20121	20122	Details
ITALY	GLOBL-BA	Major	ITAL EAP 15	6	20114	20121	20122	Details
ITALY	GLOBL-BA	Major	ITAL EAP 16	6	20114	20121	20122	Details
ITALY	GLOBL-BA	Major	INTL EAP160	6	20112	20111	20112	Details
ITALY	GLOBL-BA	Major	POL SEAP161	6	20112	20111	20112	Details
ITALY	GLOBL-BA	Major	ITAL EAP 4	6	20104	20104	20104	Details
ITALY	GLOBL-BA	Major	ITAL EAP 5	6	20104	20104	20104	Details

Ultimately UCEAP hopes to use this as a pilot which they can replicate across the UC system.

Appendix E

E.1 Cost and Savings Calculations

Labor time and cost savings through Integrated Waitlist auto-add feature:

- Estimated instructor and staff time per add: 3 minutes
- Auto-adds in Fall quarter: 11,105
- Total time: 555.25 hours
- Lecturer pay (We estimated the labor cost by using lecturer pay as a minimum estimate because pay per course and expected time are more straightforward than for ladder faculty.): \$5,554.89 per course
- Approximate hourly rate (Most courses are 33% of full-time employment, or 158.4 hours over twelve weeks.): \$35/hour
- 555.25 hours x \$35 = \$19,433.75

Per-student costs for one quarter:

- Our estimate divides the University of California's 2014-2015 per student cost, \$18,060 a year (\$7,090 state/\$2,610 institutional support/\$8,360 student), by three.
- Per quarter, per student cost: \$2,363 (state), \$870 (institution), \$2,787 (student) = \$6,020.

Potential savings through reduced time due to Integrated Waitlist:

- Rounded Freshman cohort enrollment: 4,500
- 68% graduated after 4 years, 81% after 6: at least 13% (585 students) could save time
- Rounded transfer cohort: 1,500
- 70% graduate after 2 years, 87% after 3: at least 17% (255 students) could save time
- Total 840 students x per student/per quarter cost: \$1,985,200 (state), \$730,800 (institution), and \$2,340,800 (student). Total: \$5,056,800

Potential savings through lowered NILS rate:

- In 2013, 5,675 students petitioned for graduation. 5,179 students graduated, for a NILS rate of 8.74% and 496 students unable to graduate as planned.
- Cost of extra quarter at the per student, per quarter cost for 496 students: \$1,172,213 (state), \$431,520 (institution), \$1,382,187 (students): Total \$2,985,920
- If the NILS rate were at the Registrar's goal of 4%, an additional 269 students would have graduated, leaving only 227 in need of extra time.
- Cost of extra quarter at the per student, per quarter cost for 227 students: \$536,477 (state), \$197,490 (institution), \$632,573 (students): Total: \$1,366,540
- Savings under target scenario: \$635,736 (state), \$234,030 (institution), \$749,614 (students): Total \$1,619,380

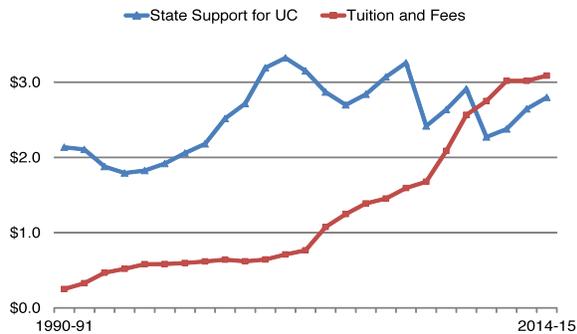
E.2 Excerpt of pages 55-6 of UC 2015-16 Budget:

Underlying the level of core funding, however, is the shift in the distribution of that funding among State support, UC General Fund sources, and student tuition and fees. Display II-7 shows the core funding components of UC average per-student expenditures for education in HEPI-adjusted dollars and yields several key findings:

- The average expenditure per student for a UC education has declined by 22% over 25 years – from \$23,050 in 1990-91 to \$18,060 in 2013-14.
- State funding per student declined significantly – by 61% over the 25-year period. In 1990-91, the State contributed \$18,040 per student – 78% of the total cost. In 2012-13, the State share declined to \$7,090, just 39% of the total funding for education.
- As the State subsidy has declined, the share students pay has more than tripled. In 1990-91, students contributed 13% of the cost of their education; students are paying 46% of the cost of their education in 2013-14.

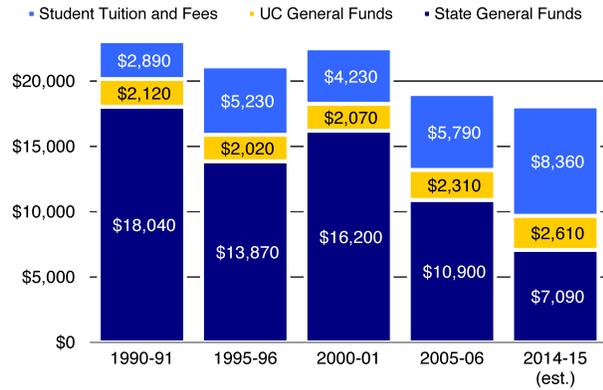
These findings raise a couple of additional points. Although the University has struggled to meet the challenge presented by a long-term decline in State funding, certain elements of the educational, research, and public service functions have been steadily compromised in order to preserve the core missions of the University. While austerity measures are necessary to address the short-term budget shortfall, they cannot be sustained over the long term if the institution is to retain its excellence. It is unrealistic to assume that cuts of the magnitude experienced by the University in recent years will not damage the state’s brain trust, the California economy, and individual students’ chances for educational advancement. While the University has been able to reduce some costs through efficiencies that do not affect program quality, some of the reduced costs have come in the form of austerity measures that are detrimental to the quality of a UC education. Such austerity measures include increases in the student-faculty ratio; faculty and staff salary lags; reductions in purchases of instructional equipment and library materials; and deferred maintenance of classrooms, laboratories, and other facilities.

Display II-6: State Support versus Student Tuition and Fee Revenue (Dollars in Billions)



Over the last 24 years, while State support has fluctuated, tuition and fees have become a larger share of UC’s core funds budget, due both to enrollment growth and tuition and fee increases. In 2011-12, for the first time, tuition and fee revenue exceeded State support.

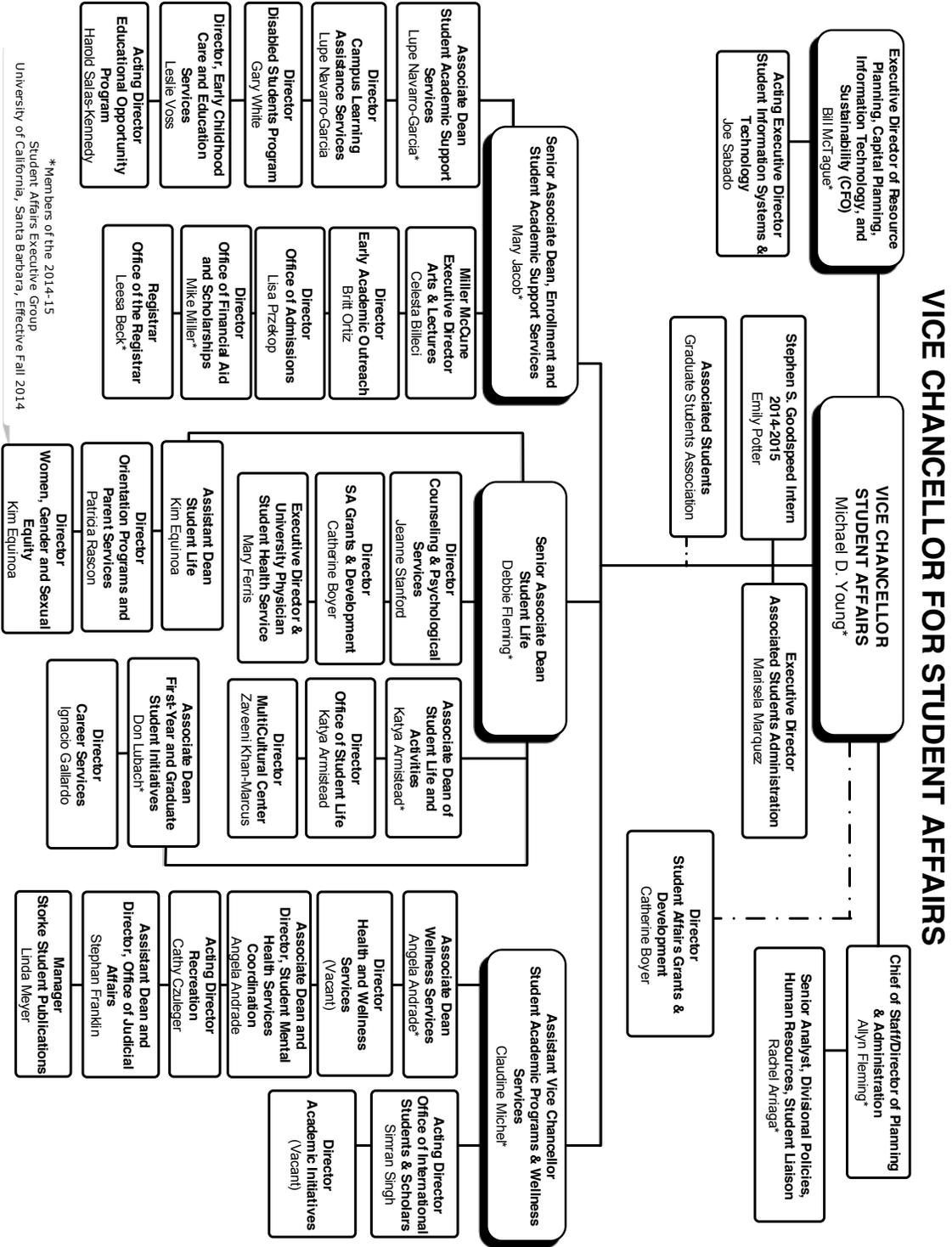
Display II-7: Per-Student Average Expenditures for Education (2013-14 Dollars)



Since 1990-91, average inflation-adjusted expenditures for educating UC students declined, the State's share of expenditures plunged even more steeply, and the student share of core funds, net of financial aid, has more than tripled. Average inflation-adjusted resources per general campus student. Excludes financial aid.

Appendix F

F.1 Student Affairs Organizational Chart



UCSBIRPA, JC, 29OCT2014

2014-15 UCSB Org Chart

F.2 Recent Successful Systems Projects Lead by Student Affairs

UCSB Answers – A campuswide knowledgebase/FAQ system implemented by Student Affairs in Winter, 2014. It is aimed at helping prospective and current students to get timelier, more consistent, and more accurate answers to their most common questions. It has interfaces from many campus websites as well as Facebook. During the academic year, this system has been receiving nearly 10,000 questions per month.

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

UCSB
ANSWERS

Type your complete question here

ASK

Welcome to UCSB Answers

Welcome to our instant answer service, where you can get answers to a wide variety of questions you may have. Simply type your question and click Ask or browse the Top 10 Questions from other visitors.



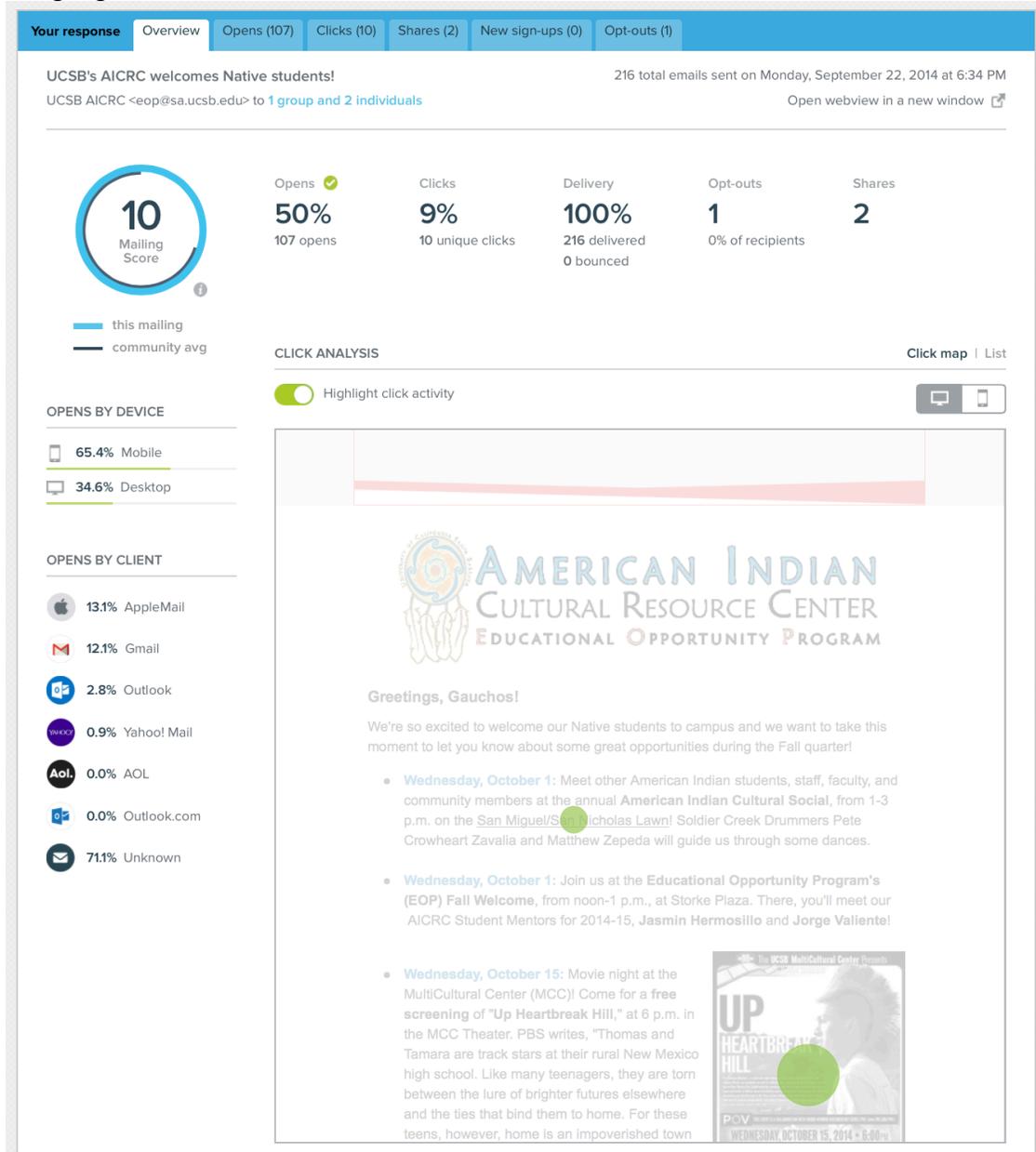
Top 10 Questions

1. [What are your admission requirements?](#)
2. [What majors or academic programs do you offer?](#)
3. [What scholarships are available?](#)
4. [What types of financial aid do you have available?](#)
5. [How do I apply?](#)
6. [How do I contact a student, staff member or department?](#)
7. [How much is Tuition?](#)
8. [Where can I find an academic calendar?](#)
9. [Does UCSB offer health insurance for students?](#)
10. [Do you have a graduate school?](#)

Electronic Transcript Sending – Prior to Fall 2014, all UCSB transcripts were printed on paper, and often took up to five business days to process. In Fall we implemented the sending of secure PDF transcripts, which can be delivered within minutes of students submitting an order. In the few months since this implementation, nearly 40% of our official transcript volume has been converted to secure PDFs, allowing the processing time for other transcripts to be reduced dramatically as well.

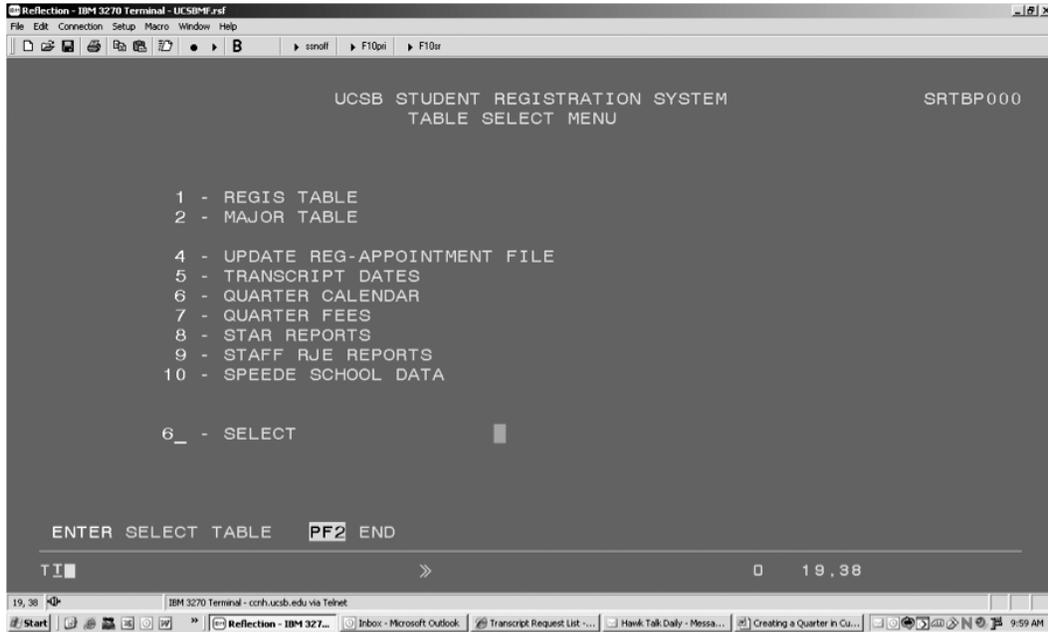
The screenshot shows the UCSB website interface for ordering transcripts. At the top, there is a navigation bar with links for Home, My Account, Order Status, Support, and Contact Us. On the right side of the navigation bar, it displays 'Shopping Cart: \$0' and a 'Sign Out' link. Below the navigation bar is a large blue header with the UCSB logo in white. Underneath the header is a progress bar with six steps: 1. Login or Register, 2. Select Documents (highlighted with a blue bar and a downward arrow), 3. Order Details, 4. Provide Consent, 5. Payment, and 6. Review Order. The main content area is titled 'Where would you like your document(s) sent?'. Below this title, there is a section titled 'Start by searching for your destination:' with the subtitle 'Institution Name, Acronym, Location, or Email'. This section contains a search input field with the placeholder text 'Institution Name, Acronym, Location, or Email' and a blue 'SEARCH' button with a magnifying glass icon. Below the search field, there is a link that says 'Or Send to Yourself'.

Social Media and Email Tracking Tools – Since last year we have been working on improving our communications to students. We recently implemented a robust set of email and social media tracking tools that allow us to monitor different channels for sending messages to students, and gauge their effectiveness.



SIS Conversion Project (iSIS) – In 2013, after nearly 30 years on a homegrown mainframe SIS, we released a new version of the SIS (dubbed iSIS) written in .NET and utilizing SQL Server databases. The transition between systems was so smooth that after converting nearly 1.5 million lines of code, fewer than 300 bugs were discovered after go-live (an error rate of less than .0002%). Converting the system allowed for much easier remote access for employees, and paved the way for a number of future system upgrades that could not be implemented in the mainframe environment.

Old Mainframe SIS:



New .NET SIS:



Online General Catalog – In 2010 UCSB became one of the first campuses in the country to go online-only with our general course catalog. This transition has saved thousands of staff hours each year since its implementation.

UNIVERSITY OF CALIFORNIA, SANTA BARBARA

GENERAL CATALOG 2010-2011

Index: A B C D E F G H I J K L M N O P Q R S T U V W X Y Z Search:

- ▶ CATALOG HOME
- ▶ Mission Statement
- ▶ Accreditation
- ▶ Equal Opportunity and Non-Discrimination
- ▶ University Officers
- ▶ Endowed Chairs
- ▶ Campus Calendar
- ▶ INTRODUCTION TO OUR CAMPUS
- ▶ UNDERGRADUATE EDUCATION
- ▶ GRADUATE EDUCATION
- ▶ COLLEGES AND DEPARTMENTS
- ▶ ACADEMIC POLICIES AND PROCEDURES
- ▶ UNIVERSITY POLICIES
- ▶ FEES AND FINANCIAL AID
- ▶ ABOUT
- ▶ PREVIOUS CATALOGS

Catalog Home



Welcome to the 2010-2011 UCSB General Catalog!

As of this year, UC Santa Barbara no longer publishes a printed catalog. Therefore, we have completely renovated the online catalog to provide more robust functionality, a superior user interface, and convenient access to the most-needed information. If this is your first time visiting, you may want to take a look at the following areas:

- ▶ [Introduction to Our Campus](#) – learn a bit about what UC Santa Barbara has to offer; while you're here, be sure to check out [A Word from the Chancellor](#), a brief welcome message from Chancellor Henry T. Yang
- ▶ [Navigating the Online Catalog](#) – learn more about the features of the Online General Catalog and how you can get the most out of using it
- ▶ [Academic Department Directory](#) – a convenient place to view and access all of our academic departments and programs, regardless of college or level

Also, please notice the "Feedback" link on the top right-hand side of each page. We hope you will take a moment to share your comments and ideas so that we can make next year's catalog even better!

[Print-Friendly](#) | [Feedback](#) | [Login](#)

Digital Student Records - Over the past few years, UCSB has digitized all student records, including transcripts from other institutions, petitions, test scores, etc. These records, which were once kept in paper format only, and had to be checked out from the Office of the Registrar, can now easily be viewed by academic advisors through their advising portal. They can also be searched on multiple indexes and purged in accordance with the campus’s document retention schedule.

Documents

ID	School Name	School City	Type	Status	Last Modified
739953	GOLDEN VALLEY HIGH SCHOOL	SANTA CLARITA, CA	Domestic High School Transcript	Final	1/7/2015 4:45:36 PM
769636			AP Scores		1/7/2015 4:45:36 PM
794379			Blue Half Sheet		1/7/2015 4:45:36 PM
970241			Late Study-List Change		1/7/2015 4:45:36 PM



F.3 Principles of Information Systems Development The Division of Student Affairs

- The Executive Group of the Division of Student Affairs controls the direction of Student Information Systems & Technology (SIS&T) through Bill McTague, Executive Director of Resource Planning, as the control point and the Computer Policy Group as the governing entity.
- SIS&T is a “utility” of the Division of Student Affairs and NOT a department; it provides the fundamental tools that all departments and functions require to do their work.
- Our expectation is that SIS&T will always seek to align itself with the values and goals of the division. In other words, SIS&T operates on behalf of the Division of Student Affairs and not for itself.
- It is crucial financially, functionally, and politically that all SA departments have the appropriate information technology (IT) assets needed to accomplish their missions. Some departments may require enhanced functionality, but all (regardless of departmental resources or organizational placement) receive “basic cable,” including all service and support structures (e.g. Help Desk, automated deployments, etc.), access to the divisional network, up-to-date hardware, and access to software. No department is left out. As a result, no one department (or handful of departments), due to lack of interest, expertise or resources, prevents the division as a whole from pushing technology forward.
- Student Affairs and SIS&T establish feedback mechanisms in order to receive valuable information from IT users (e.g., Computer Policy Group and SA Business Officers Group); we listen to user concerns, and we respond to those concerns as appropriate.
- SIS&T is core/permanently funded. SIS&T leadership is not and should not be concerned about the funding of the core organization in relationship to projects, services, or initiatives; rather, SIS&T’s focus should be on developing and maintaining high-quality systems for the division and the campus.
- Central to the orientation of SIS&T and the Computer Policy Group is that the organization must keep evolving in response to changing environmental realities, and resist the temptation to “stand pat.” If we detect or see new developments or obstacles in our environment, we seek to understand those developments, or obstacles, and evolve and adjust to respond to them. For example, Student Affairs’ senior management has employed an explicit model of substituting automated IT services for labor in response to protracted budget reductions; this has been an essential tool in helping achieve divisional downsizing.
- SIS&T is purposefully designed as a decentralized organization within a centralized and core-standards-based structure. In other words, the hybrid, federated model is designed to take advantage of the best aspects of centralization and de-centralization. This is crucial as the business of Student Affairs’ departments vary significantly—from child care to health/psychological care to point-of-sale to registration, admissions, financial aid, recreation, student life, immigration processing, and on. Each department’s priorities and timelines must align with its own business priorities without impediment from the SIS&T IT/IS (information systems) service providers.
- Despite the hybrid model, all IT staff work for and report to SIS&T (even if physically deployed in a department and even if originally funded by that department). All IT staff adhere to the policies, procedures, principles, frameworks, and expectations of SIS&T

and divisional leadership. The IT leads embedded in the departments become part of the senior manager team of the departments themselves and they are not just IT support. So, there is someone with broad technical and process knowledge that helps the departments make better decisions systematically and organically as part of the departments' day-to-day work. However, this is done in a way that integrates Divisional IT standards and processes in a way that reinforces our cohesion as a complex organization.

- IT leads are embedded in departments as part of the senior management team (i.e., not just IT support). This enables systematic and organic decision making from a technical and process orientation while integrating Divisional IT standards and processes.
- Student Affairs core funds computers, routers, hubs, etc., and standardizes both software and hardware. Departments and individuals may deviate from standard hardware and software only with good reason and after review and approval by SIS&T, Computer Policy Group, the Executive Group, and the Vice Chancellor's Office. Such deviation from the standard is allowed when it makes sense (e.g., when a specialized need cannot be accommodated within the standards.)
- SIS&T provides a centrally managed and core-funded help desk.
- Student Affairs has established special accounts, sometimes known as "sinking funds," to support the various aspects of our IT/IS support structures.
- SIS&T keeps detailed documentation of all developed software and production environments in conformance with UC Office of the President larger-project IS development industry standards (IS10) and OP security requirements (IS3).

Appendix G

G.1 Engaging Integrated Waitlist stakeholders

Integrated Waitlist consultations and training:

- Summer 2013-present – Waitlist Workgroup begins meeting regularly
- April and May 2014 – Series of waitlist trainings offered for staff and faculty (subsequent trainings offered periodically and by request)
- September 22, 2014 – Waitlist presentation included as a part of the Registrar Fall Kickoff (targeted at academic advisors and business officers)
- October 21, 2014 – Waitlist presentation included as a part of the L&S Fall Chairs and MSOs Meeting
- November 11, 2014 – Meeting with Senate Chair and Undergraduate Council Chair to discuss formation of a Senate task force to suggest and inform long-term policy changes precipitated by the use of waitlists
- Winter 2015 – Task force formed, including representation by deans, faculty, Office of the Registrar, and Office of the EVC

G.2 Sample Integrated Waitlist training document:



Updated: 10/17/14

Instructors – Integrated Waitlist Tip Sheet

Waitlist Overview:

- Starting with the F14 term, a new course waitlist feature has been added to eGrades and GOLD
- A waitlist button will become available to students once the following criteria are met:
 - Registration Pass 2 has begun;
 - The department or instructor has enabled the waitlist for the course in eGrades; and
 - All lectures and sections of the course are full or closed.
- Students signing up for the waitlist will be prompted to select which sections they would be willing to add and will be informed of the number of students already on the waitlist for each section.
- The waitlisted units will count toward a student’s unit maximum to limit the number of units that they may waitlist.
- Spaces that become available after students have registered for a waitlist may not be directly added by the student. They may only be added by the Auto-Add process or with an approval code.
- The Auto-Add process, if left enabled, will run on a regular basis and will assign available spaces to the student at the top of the waitlist. The student will be added and notified via email
 - For F14 registration, the Auto-Add feature only supported a first come, first served sort order.
 - Starting W15, the waitlist may be set to use other criteria (e.g. major, class level, etc.)
 - This feature will only add students that are eligible to add the course. Students missing pre-requisites, major limitations, level limitations, etc. will not be automatically added.

Setting up a Waitlist:

- After logging into eGrades and selecting the future quarter, there will be a “View Waitlist” link next to each course name:

EnrId	Cntrt	Instructor(s)	Meeting Time(s) / Location(s)	Enrld/Max	Proxy(s)	Status	Grades
00018		WALSH C	M W F 10:00-10:50 CAMPB HALL	2/860		Not started	Open
00026			F 2:00- 2:50	2/28		Not started	Open

- Clicking on that link will navigate to the Waitlist settings page:

Course Waitlist for ANTH 2

[Settings](#) [Waitlist](#)

Modification for this course's waitlist settings have been turned off because there are students on the waitlist. If changes to these settings are required, please contact the grading coordinator for your department.

Enable/Disable Waitlist

Enable Waitlist: Yes No

Disable Auto-Add From Waitlist:

Waitlist Type: First Come, First Served Criteria Based

Available Criteria

- [Major](#)
- GPA
- Total Units
- [Repeat](#)

Selected Criteria

- Total Units
- [Repeat](#)
- GPA
- [Major](#)

This is a criteria-based Waitlist. Students will be added based on the application of the indicated criteria.

Waitlist Notes:

[Return to List of Courses](#) [Save Changes](#)

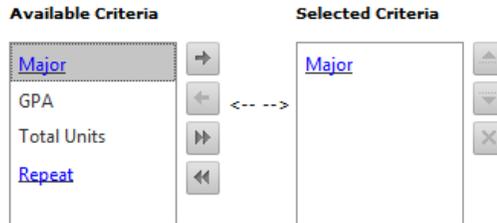


Updated: 10/17/14

- Available settings:
 - Enable Waitlist: Selecting ‘Yes’ will enable the waitlist
 - Disable Auto-Add: The Auto-Add process will automatically add students to the course if spaces become available. If you wish to distribute approval codes instead of allowing the Auto-Add process to run, check this box.
 - Waitlist Type: Select either First Come, First Served or a Criteria based Waitlist. If Criteria based is selected, you will see a display of criteria options. To select criteria to be enforced simply click and drag the criteria over to the Selected Criteria column. The waitlisted students will be ordered by the criteria selected. Additional information is in the Criteria Selection section below.
 - Waitlist Notes: Any notes entered in this box will be displayed to the student in GOLD. We highly recommend using this space to inform the student of the criteria and process being used to assign spaces in the course.
- Once you have completed entering your settings, click the Save Changes button.

Setting Criteria for a Criteria-based Waitlist:

When selecting a criteria-based waitlist, you will need to specify which criteria should be used in sorting the students on the waitlist. To select criteria, click and drag the desired option(s) from the Available Criteria box to the Selected Criteria box.



Available Criteria:

- Major: The major option will allow you to select a list of majors that should be given priority when sorting the waitlisted students. Double-clicking on the Major option will open a pop-up dialog box. To select majors, find the department which houses the major you wish to select and double click on the Department name or click on the arrow next to the department. The Department will expand to display all majors housed in that department. To select the major code, click and drag the major to the Selected Majors box. Once all majors have been selected, click on the Save button at the bottom of the pop-up. Once you see the message indicating that the updates have been saved, you may click on the ‘X’ in the upper right corner of the pop-up to close it.

The order of the majors selected does not matter at this point in time. The majors selected will all be granted equal priority.

- GPA: will sort students by cumulative GPA from highest to lowest.
- Total Units: will sort the students by their total units from greatest to least.
- Repeat: Similar to the Major option, if you double click on the Repeat option it will give you the option to select whether you want to give students repeating the class higher or lower priority.

Sorting

The sort will be performed based on the criteria selected and their order in the Selected Criteria box. For example, if the Selected Criteria list contained Major followed by Total Units, the students would be sorted based on those students that are in one of the prioritized majors followed by those that aren't. Then within those two groups, the students would be sorted based on unit totals. In cases where there are 2 or more students with the same selected criteria, the students would be ordered based on when they added themselves to the waitlist.

Viewing Students on a Waitlist:

- The list of students currently on the waitlist may be viewed by accessing the waitlist settings and clicking on the 'Waitlist' tab:

The screenshot shows the 'Waitlist' tab in the eGrades system. It includes an 'Enroll Code Filter' dropdown set to 'All', and an 'Eligibility Filter' section with four radio button options: 'All Students' (selected), 'All Active Students', 'Eligible Students', and 'Ineligible Students'. Below the filters is a table with columns: Pstn, Perm, FirstName, LastName, Eligible, Status, ClassLevel, GPA, Major(s), and Email. Two student records are shown. At the bottom of the table are three buttons: 'Return to List of Courses', 'Send E-mail to This Group', and 'Export List'.

Pstn	Perm	FirstName	LastName	Eligible	Status	ClassLevel	GPA	Major(s)	Email
1	300530	Case	Test	True	Active	Masters	3.96	ECE	tc1@umail.ucsb.edu
2	526777	Case	Test	True	Active	Junior	3.04	PRCHM	tc2@umail.ucsb.edu

- At the top of the Waitlist display you will find some filter options:
 - Enroll Code: Allows you to display All students on the waitlist for the course or you may select an individual Enrollment Code to display only the students that selected that Enroll code as an option.
 - Eligibility Filter allows you to limit the displayed students to only those that meet certain criteria:
 - All Students: displays all students with waitlist records
 - All Active Students: Only displays those students that are still Active (not enrolled or dropped)
 - Eligible students: Only displays students that meet the requirements to add the course (note: this will include students that have pre-requisite coursework in progress)
 - Ineligible students: Only displays those students that do not meet requirements to add the course.
- The fields displayed are:
 - Pstn: Position on Waitlist. This field will display the student's current position on the waitlist based on the waitlist settings. Students that are not Active (either enrolled or dropped) will not have a value.
 - First Name
 - Last Name
 - Eligible: 'True' indicates that the student currently meets the criteria to be added to the course.
 - Status: 'Enrolled' indicates that the student was on the waitlist but has since been enrolled in the course. 'Dropped' indicates that the student removed themselves from the waitlist. 'Active' indicates that the student is still on the waitlist.
 - Class Level: This is the student's current class level for the quarter.
 - GPA
 - Major(s): Up to two of a student's majors will be displayed
 - Email: the student's Umail account
- If you wish to Extract the class list, you may do so by clicking on the Export List button. This will produce a comma-separated value (CSV) file that may be opened in Excel or any other spreadsheet application. The extract will only include those students currently displayed on screen, so you may filter the students prior to extracting should you choose to do so. The Extract includes the following fields in addition to all those from the online display:
 - There will be one column for each Enrollment code covered by the Waitlist. Each student record will have a 'Y' for each Enrollment Code that they selected when adding to the waitlist.
- If you wish to send an email to the population of students, filter the students until the desired population is displayed, then click on the "Send Email to This Group" button. A dialog box will open that will allow you to fill in the email subject and message. Clicking Send will email the selected group. If you select the option to receive a copy of the email, it may take some time to arrive depending on the number of students on the distribution list (sometimes up to an hour). The copy to the sender is the last email sent and is confirmation that the rest of the emails were sent by the application.



Updated: 10/17/14

Auto-Add Process:

The Auto-Add process is a background process that runs 4 times per day and attempts to add Waitlisted students to courses as spaces become available. This process will only add students that meet all eligibility criteria for a course (e.g. pre-requisites, major limitations, level limitation, etc.). Students that do not meet all criteria are notified at the time they add to the waitlist that they will not be auto added and will need to speak to the instructor or department.

When a space becomes available the Auto-Add process will find all of the students that selected that enrollment code and sort them based on the criteria set in the Waitlist settings. It will then proceed to attempt adding the student at the top of the list. If the student is not eligible for the class, the process will move on to the next student in line. The process will continue until there are no available spaces remaining or until it has attempted to add all of the students on the list.

Approval codes will continue to function alongside the waitlist and will override the waitlist as well as any eligibility checks.

Instructors that do not wish to use the Auto-Add process may disable this feature in the Waitlist settings and may issue approval codes to fill spaces as they become available.

Important Dates:

- First Day of Registration Pass 2: This is the earliest that a Waitlist will become available to students in GOLD. Even if the Waitlist is enabled and the course is full during Pass 1, the option to add to the Waitlist will not appear in GOLD until Pass 2.
- Last Day to Add a Course without an Approval Code (5th day of instruction): This is the last day that a student may add themselves to a waitlist and the last day in which the Auto Add process will run.

Frequently Asked Questions:

1. How do I give priority to a particular student on a waitlist?
 - a. While there is not currently a way to flag a student as next in line, you may always issue an approval code to allow a student into a course.
2. Can settings be changed for an individual lecture if there are multiple offerings of a course?
 - a. As of right now the Waitlist system only supports one set of criteria per Course, so all instances of a particular course number will share settings.
3. When does the Auto-Add process stop?
 - a. The Auto-Add process stops running once the deadline to add a course without an Approval Code passes. This is typically the fifth day of instruction. If you wish to shut off this process early, please work with the eGrades grading coordinator to update the waitlist settings to disable the Auto Add function.
4. Why can I no longer edit the waitlist settings?
 - a. Instructors may edit the waitlist settings at any point up until the first student adds themselves to the waitlist. Once students have started adding to the waitlist, edits to the settings must be performed by users in the Grading Coordinator, Acting Chair, or Chair roles. You should still be able to view the waitlist, export the waitlist, and send a group email using the utilities on the Waitlist tab.

For further assistance with eGrades, email eGrades@sa.ucsb.edu or call 893-2681

Appendix H

Courses opened due to waitlist demand in Fall 2014

Course	Total waitlisted students for all sections
MATH 3A	417
WRIT 2	397
ECON 10A	323
PSTAT 109	313
MATH 3B	290
CMPS 8	253
CH ST 1A	245
EARTH 4	175
AS AM 2	157
WRIT 1	151
PSTAT 130	118
EARTH 10	114
GER 1	109
MCDB 131	80
PSTAT 174	71
PSTAT 171	67
CHEM 113A	63
PSTAT 126	63
PSTAT 160A	61
GEOG 3A	50
PSTAT 175	46
MATH 118A	42
MUS 3A	38
MATH 111A	36
POL S 127	35
PHYS 20	30