

December 15, 2017

**ENRIQUE LAVERNIA, Ph.D**  
**PROVOST & EXECUTIVE VICE CHANCELLOR**

**RE: RESPONSE TO IAS AUDIT REPORT**

I am responding to your letter on November 17, 2017 regarding the implementation actions for the internal audit report on admissions and enrollment management. I am pleased to share our plan to enhance the operations and management of the enrollment services area with particular attention to the admissions process. Prior to receiving the report, efforts were already underway to address issues we identified as part of the process. I convened a special committee comprised of admissions management staff, OIT admissions staff, CUARS leadership, and auditors from Internal Audit Services (IAS) to discuss the audit recommendations and gain consensus on short-term and long-term remedies. While this has been a difficult process to undergo given the negative impacts to the university, this experience should be seen as an opportunity to modernize the admissions process from an enrollment management perspective. As the campus continues to grow in size and academic reputation, enrollment management should be a campus priority in the long-range strategic plan for the university.

**RECOMMENDED ACTION PLAN**

Enclosed is a matrix detailing our efforts to address the recommendations made by IAS. Staff have been identified to lead each of the recommended items and timelines have been established for items that have yet to be completed. As part of the audit, we also acquired the services of Maguire Associates, Inc., a highly regarded agency specializing in university admissions consultation. We are expecting a preliminary report from them in January 2018.

**BACKGROUND**

Contextually, UCI experienced an unprecedented number of applications for Fall 2017 with over 104,000. This is no surprise given the exponential trajectory of applications over recent years and the extensive outreach my team and I engage in every year. This growth can be attributed to the academic reputation, accomplishments, and accolades in the areas of research, teaching, service, innovation, and impact to the region, nation, and world. I would be remiss to not also acknowledge the efforts of our Office of Undergraduate Admissions and their ability to attract the best and brightest to the campus.

**CHALLENGES**

Given these efforts, we were also faced with challenges, many of which were beyond our control or exceeded our operational capacity to be sufficiently responsive. State legislation that requires many of the UCs, including UCI, to meet a 2:1 freshmen to transfer ratio led to measures that were employed out of a genuine fear that the campus would be responsible for risking \$50 million to the entire UC system. These measures included the creation of the Anteater Leadership Academy, the Irvine Valley College-UCI Engineering Pilot Transfer Program, refunding Statement of Intent to Register (SIR) fees, and Admission for Offer Withdrawals (AOW) for students that failed to meet academic requirements or missed deadlines to submit documentation or transcripts as part of their admissions file. The latter strategy garnered heavy criticism as we impacted the lives of close to 500 students and their families. This measure created another challenge, which was our ability to manage the media deluge as a result of the AOW process.

Additionally, lack of sufficient staffing in the admissions area and significant workload issues created as part of the SIS project resulted in key staff spread too thinly and diverted the attention required to manage day-to-day operations.



## RESOURCES

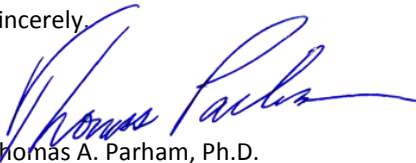
Beyond addressing the operational concerns mentioned in the report, the more immediate concerns relate to the resources required to meet the growth in the transfer applications, especially given the 2:1 freshmen to transfer requirement. This means additional evaluators and personnel will need to be secured to manage transfer articulation for the current admissions cycle. Resources supporting 10.0 FTE to address this immediate need will be provided by Student Affairs from one-time reserve funds. The details specific to these positions will be included in the budget plan memorandum to address the \$1.5 million shortfall due to the larger pool of financially needy students. Going forward, the additional staff and program support needs for future admissions cycles will be requested as part of the normal budget request process for the 2018-2019 FY.

## CLOSING

The experience of the Fall 2017 admissions cycle has taught us a great deal about the status of our operations and organizational management. Keeping in mind that management decisions always have consequences, we have the opportunity to now make decisions that can push the university even further in prominence, repute, status, and standing amongst the great universities in the world. If there is any campus that can accomplish this, I have no doubt that with the right amount of support and strategic thinking it can be UCI.

If you have any questions regarding this letter, please feel free to contact me.

Sincerely,



Thomas A. Parham, Ph.D.  
Vice Chancellor, Student Affairs

## Enclosures:

Audit Action Plan Matrix  
Interim Report of the President's Academic Verification Task Force

CC: Chancellor Gillman  
Associate Chancellor and COS Arias  
Associate Provost and EVC Lefkoff  
Interim Associate Vice Chancellor & AVC COS Dormitorio  
Interim Budget and Planning Officer Graciano  
Director Morales

**Management Action Plan**

Red = Immediate attention required; Yellow = In-progress; Green = Completed

Item	Recommendations	Management Action Plan	Lead	Comments	Status	Completion/Expected Completion
1	<b>Establish appropriate committees and workgroups (i.e. Steering Committee consisting of process owners, high level stakeholders, and industry experts who can provide guidance, develop policies and procedures, and enhance collaboration).</b>	Implement an enrollment management model and organizational structure for the university the current role of Associate Vice Chancellor (AVC) of Enrollment Services should be developed into the role of Associate Vice Chancellor of Enrollment Management. The AVC Enrollment Management's principal responsibility is to convene various cross-functional offices, i.e., admissions, financial aid, registrar, institutional research, housing/campus planning, as well as representatives from retention, alumni, and parent engagement, in order to devise specific, well-planned strategies and tactics (including data integration and cross-functional, high-level reporting) that will ensure undergraduate enrollment goals align with specific academic, resource, and strategic planning goals for the campus.	Thomas A. Parham, Vice Chancellor	Consultation with the Provost is required.  The campus should consider long-range strategic and resource planning to ensure alignment with campus goals and objectives.	Job description draft in progress.	As soon as possible
2	<b>Establish a group of members (i.e. Admissions Predictive Modeling Team, OIR, Financial Aid, external consultants, OIT) to inform the predictive model process and provide an independent verification of modeling results</b>	Expand participants in admissions' predictive modeling team to include partners in financial aid and institutional research, as well as external consultants. Leveraging resources from these partners, ensure a broader range of model inputs	Patricia Morales, Executive Director of Admissions	Campus has acquired Maguire Associates Inc. to assist with modeling. The Office of Institutional Research will also be consulted for this process.	In Progress	On-going
3		Engage external consultants to assist with multiple iterations and testing of different methodologies that will allow for the current model to keep pace with changing business processes, system resources, applicant demographics, and year-over-year variability				December 6-7, 2018
4	<b>Admissions should conduct a comprehensive review of Admissions processes (utilizing the expertise of the committees/workgroup.)</b>	The comprehensive review of Admissions processes has been and continues to be conducted as the foundational component of the SIS/Slate implementation.	Edgar Dormitrio, Interim AVC Enrollment Services		In Progress	January 2018
5		As a fundamental and ongoing part of the SIS/legacy system migration process, the development of comprehensive policy and business process documentation is well underway.	Patricia Morales, Executive Director of Admissions		In Progress	In-progress
6		In partnership with Admissions IT, migration plans to transition business IT, migration plans to transition business processes from the legacy system are being incorporated into all phases of the SIS/Slate implementation project. A comprehensive Process Impacts Analysis Report has already been completed. This document has highlighted areas of potential risk and also makes recommendations for how best to mitigate those risks as the final stages of implementation take shape over the next 12 months.	Patricia Morales, Executive Director of Admissions & Carmen Roode, Director, Office of Information Technology		Completed and included in SIS documentation	Completed

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Item	Recommendations	Management Action Plan	Lead	Comments	Status	Completion/Expected Completion
7	<b>Improve communication and collaboration between the Admissions Operations, Admissions IT Team, and other established workgroups. This is key to adequately implement and execute the business process in the current legacy system and also in Slate (currently under development).</b>	The Executive Director of Admissions and the Director of Enrollment IT will convene a half-day retreat-style meeting during the fall term that brings together the Admissions IT and functional units (i.e. operations and modeling staff), along with external consultants. The goal of the half-day meeting will be to re-establish a baseline for positive communications; plan the working calendar for both units; and identify goals (both unique and shared) among the teams in support of constructive outcomes associated with the fall 2018 admissions cycle.	Patricia Morales, Executive Director of Admissions & Carmen Roode, Director, Office of Information Technology as meeting leads  Edgar Dormitorio, Interim AVC Enrollment Services, Thomas A. Parham, Vice Chancellor		Completed	December 6-7, 2017
8		Representatives from each of the groups should continue to meet monthly (at a minimum) to monitor progress on goals and pursue effective communication.	Patricia Morales, Executive Director of Admissions & Carmen Roode, Director, Office of Information Technology		In Progress	On-going
9	<b>Ensure staffing requirements are met based on Admissions management assessments, including cross training and subject matter experts where necessary.</b>	The Executive Director of Admissions will continue work with the business manager to assess staffing requirements (already underway) and provide recommendations to senior management on new positions. Current analysis of staffing requirements proposes the need for an additional 14 new FTE to effectively handle the volume and complexity of Admissions' work, and to achieve parity with peer institutions.	Patricia Morales, Executive Director of Admissions & Edgar Dormitorio, Interim Associate Vice Chancellor of Enrollment Services	Hiring plan is currently underway.  10.0 FTE approved to be hired immediately to address articulation and evaluation for the current admissions cycle.	In-progress	Pending
10	<b>Relieve workload for the operational units by leveraging the current Admissions IT staff through adequate involvement in the Admissions system processes changes.</b>	Admissions operations will continue to work closely with key individuals from Admissions IT, who will provide ongoing assistance with the ApplyUC XML load into Slate and participation in modeling	Patricia Morales, Executive Director of Admissions & Carmen Roode, Director, Office of Information Technology	2 staff members from OIT will be dedicated to assist in this process.	In-progress	December 2017
11	<b>Provide training opportunities as necessary and train accordingly.</b>	Training is always ongoing. Staff development is a high priority, and all staff engage in professional development and cross-training opportunities throughout the year. {{Make note that this is happening through weekly meetings. Also is *continual*}}	Tony Hwang, Director Operations, Admissions, Dale Leaman, Sr Assoc. Dir - Systems and Operations, Admissions Patricia Morales, Executive Director of Admissions	Training occurs through weekly staff meetings.	On-going	Continuing
12	<b>Establish formalized policies and procedures related to predictive modeling , legacy, system processes, UCI eligibility determination, ACR, and holistic reviews.</b>	Concurrent with the development of business process revisions to align with new SIS/Slate functionality, and also in response to best practices advised by peer UC campuses, the ACR process will be discontinued as a necessary pre-cursor to modeling	Patricia Morales, Executive Director of Admissions		Completed	Prior to Admissions Offers
13		The Executive Director of Admissions will work with input from the Admissions operations and modeling staff to develop documentation of this new business process, and will also include notes explaining why the former practice will be discontinued.	Patricia Morales, Executive Director of Admissions		On-going	Prior to Admissions Modeling

**Management Action Plan**

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Item	Recommendations	Management Action Plan	Lead	Comments	Status	Completion/Expected Completion
14		Consistent with practices at other UC campuses, freshman eligibility review will be performed after the selection of admits has been modeled, and with the use of the UC eligibility field (which, to date, has not utilized). Eligibility updates will be assigned by evaluation staff, in accordance with policies outlined in the system-wide admission evaluator guidelines. Any potential admits by exception will be flagged as needed. Estimate is that this will be no more than one to two percent to the predicted enrollment pool, which is well within the allowance of UC policy of six percent (with no more that two percent being non-resident).	Patricia Morales, Executive Director of Admissions		Completed	Completed
15	<b>Establish formalized policies and procedures related to AOW, addressing specific issues related to the student's application deficiencies (transcripts, high school credits,etc.).</b>	The UC System-wide Verification Task Force, convened under directive from President Napolitano, is developing a set of policies and guidelines regarding the admission offer validation. The Executive Director of Undergraduate Admission serves as UCI's campus representative on this task force.	UC System-wide Verification Task Force	Refer to the recommendations made by the UC System-wide Verification Task Force.	Completed	November 15, 2017
16		The task force will propose a set of best practices regarding transcript and test score validation, admission offer cancellations, and appeals. These recommendations are being shared with the Regents in November 2017, and then will be finalized by the end of the year.	UC System-wide Verification Task Force	Refer to the recommendations made by the UC System-wide Verification Task Force.	Completed	November 15, 2017
17		Once approved, UCI will implement these procedures.	Patricia Morales, Executive Director of Admissions		In-progress	December 1, 2017
18	<b>Ensure that students and staff are adequately educated on the appeal policy and process.</b>	Building on lessons learned from this past cycle, new training guides and modules are currently in development to assist front-line and admission counseling staff on how to best direct students to appropriate resources, including information on the appeal process.	Patricia Morales, Executive Director of Admissions, with approval by Edgar Dormitorio, Interim AVC Enrollment Services, Thomas A. Parham, Vice Chancellor Student Affairs	New procedures will result in minimal cancellations.	Completed	Prior to Admissions Offers

**Management Action Plan**

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Item	Recommendations	Management Action Plan	Lead	Comments	Status	Completion/Expected Completion
19	<b>Consider enhancing applicant communication protocols to include social media monitoring and communication related to the admissions and enrollment process</b>	Communication protocols, including social media engagement, are a core dimension of the SIS/Slate implementation. Documentation of the updated business processes have already been developed and will continue to be refined through the final stages of the Slate implementation.	David Naimie, Director, Marketing & Outreach, Admissions	Protocols and policies will be developed within a broader consultation with the Office of Strategic Communications and Public Affairs and their campus social media and crisis communications professionals. Additional staffing or outside support would be necessary to monitor social conversations and effectively respond during times of crisis.	Completed in Slate	Prior to Admissions Offers
20	<b>To further enhance applicant communication, ensure applicants have continued access to the online portal with capability to remedy any issues related to their records.</b>	All modes of applicant communication will be greatly enhanced once we are able to go live with Slate (scheduled for Sept 2018). Slate offers best-in-class communication tools, including live chat, texting, campaign editing tools, and extensive notes features. Each of these features as well as additional, end-user controlled functionality – will enable Admissions staff to have more nuanced and dynamic communication with applicants. The applicant's experience will also be greatly improved, as the Slate platform is user-friendly and plugs-in" to many college planning tools that students typically use (e.g. Naviance, CollegeNet, etc.). As with our current portal, all student interactions will be logged and archived through the system.	Tony Hwang, Director, Operations, Admissions	System is currently in operation.  Testing will occur periodically throughout admissions cycle.	Completed	November 2017

## ***Campus Admission Verification Processes and Policies***

### **An Interim Report of the President's Academic Verification Task Force**

**Note: This is an interim report for discussion at the November 15-16, 2017  
Meeting of the UC Board of Regents**

**Office of the President  
University of California  
Draft: November 4, 2017**

## **Campus Admission Verification Processes and Policies: An Interim Report of the President's Academic Verification Task Force**

In the fall, students applying to the University of California submit their applications for admission. At the point of application, all of the information that they submit are self-reported (e.g., courses completed, grades, senior year courses they are taking or plan to take). Then, during each spring and summer, as the final step of preparing a class for enrollment in the fall term, UC campuses verify the academic accomplishments of admitted students to ensure that they have met all conditions of their admission to UC. Typically, campuses request official high school and community college transcripts as well as official test scores to verify that the student earned, for example, a high school diploma, completed all necessary “a-g” courses, maintained at least a C average in the senior year of high school, and/or completed pre-major requirements for transfer to the junior level.

UC's academic verification process, similar to processes conducted at colleges and universities across the country, ensures the integrity of its admissions process by verifying the credentials of each student it admits. However, after a high-profile incident at the UC Irvine campus, in which the campus withdrew the admission of 290 students for a failure to submit validating information, observers expressed significant concern that current practices might be too harsh and that the campus was more concerned in managing its fall enrollment than in serving new students.

The Irvine Chancellor ultimately reinstated all impacted students. Even so, President Napolitano established an Academic Verification Task Force to assess systemwide policies and practices and to make recommendations to the Board of Regents that serve the institution and its students well. The President asked that the Task Force report its findings and recommendations at the November meeting of the Board of Regents.

### **Task Force Charge and Membership Roster**

Appendix 1 contains the Task Force charge. Provost and Executive Vice President Michael T. Brown chaired the Task Force, which included membership from all UC campuses, as well as two external members (see Appendix 2 for a membership roster).<sup>1</sup>

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<sup>1</sup> The Task Force is particularly indebted to the service of Philip Ballinger, Associate Vice Provost for Enrollment Management at the University of Washington and Kent Hopkins, Vice President for Enrollment at Arizona State University who served as external members. These representatives provided an important outside perspective regarding the verification processes used by public institutions outside of California and represent an important validation of UC's practices and whether they conform with generally accepted standards nationally.



Within this expedited period, the Task Force met semi-weekly from late September to early November. During the course of its work, the Task Force:

- Evaluated the timeliness of communications to admitted students regarding the verification of official documents;
- Reviewed whether the number and type of solicited documents can be reduced or provided in more effective ways;
- Examined whether UC's need for transcript and test score information is aligned effectively with the ability of K-12 schools, community colleges, and testing organizations to generate this information;
- Assessed the needs of the campuses to maintain the academic integrity of the admission process; and
- Considered the adequacy of the appeals process at each campus.

The Task Force reviewed relevant campus and systemwide material relevant to academic verification. These materials included relevant policies and guidelines, campus admission agreements, typical communications used to inform students about the need to submit transcripts, and facsimiles of electronic student portals where campuses provide information to students about the status of their admission and enrollment.

The Task Force's work produced ten findings and nine recommendations. The Task Force believes that the findings and recommendations will serve students and the institution effectively in verifying the academic qualifications of admitted students.

### **Findings**

- 1. Verifying students' academic qualifications for admission to the University of California is important for ensuring integrity and fairness within an admissions process that is highly competitive and for helping to ensure that new students are properly prepared for the academic rigors of the University.***

Regents' policy and Academic Senate guidelines obligate admissions officials at each campus to secure necessary and official documents to verify the academic qualifications of all new students. This is important because applicants provide self-reported information on the undergraduate application. Regents' policy 2102 requires that "the

top one-eighth of the state's high school graduates, as well as those transfer students who have successfully completed specified college work, be eligible for admission to the University of California.”<sup>2</sup> In addition, several Academic Senate regulations require campus admission offices to verify student’s academic qualifications. For example, Chapter 2, Article 2 (420) specifies that, “Each applicant for freshman admission must arrange for the University to receive, prior to the date established by the Office of Admissions, the final official high school transcript as well as a transcript for all collegiate courses that have been attempted.”<sup>3</sup>

- 2. Campuses want to enroll the students that they admit, seeing great potential in those that they admit after having invested considerable time, effort, and resources in assessing the credentials of applicants to their campuses and identifying those students who they believe will thrive on their particular campus.***

Campus see great potential in the students they have admitted and wish to play a role in helping selected students fulfill their potential. Campuses do not wish to withdraw the admission of a student it has spent many months encouraging to enroll in the fall. UC’s comprehensive review admissions process involves an intensive and thorough evaluation, designed to best match students who will thrive at a particular campus. Following the admission offer, the campus spends considerable time and resources to encourage students to make a commitment to attend in the fall. If the student signals an intention to register in the fall, the campus makes additional investments in preparing the student for the fall term, such as scheduling the student for orientation, providing guidance on course selection and academic planning, and helping secure housing.

- 3. The verification process is sometimes used as a way to manage campus enrollment and this use may communicate that student applicants are unwanted – the exact opposite of what campuses’ have invested time, effort, and resources to communicate.***

Criticism of UC Irvine’s verification practices stemmed from a belief that the campus held new students to a standard that in any other year would not have been applied. As a result, UC’s legitimate need to verify the academic qualifications of new students was undercut—and UC’s admissions process tarnished—because of a belief that students’

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<sup>2</sup> Regents Policy 2102: Policy on Undergraduate Admission. Available at: <http://regents.universityofcalifornia.edu/governance/policies/2102.html>

<sup>3</sup> See UC Academic Senate Regulations, Part II (Admission), Chapter 2, Article 2 (420). Other relevant Academic Senate Regulations include can be found here: <http://senate.universityofcalifornia.edu/bylaws-regulations/regulations/rpart2.html#r418>.

admission was jeopardized for something other than adherence to academic qualifications needed for admission.

**4. *There are alternatives to using verification to manage enrollment.***

Several campuses use registration “blocks” to gain the notice of students who have not responded to previous inquiries. These blocks prevent students from conducting business within the institution, such as signing-up for orientation, enrolling in classes, or applying for housing, until the student contacts the institution.

**5. *Campuses remind new students repeatedly and regularly to submit needed documents; the number and type of communications vary across the system. Unless a student makes contact with a campus, UC admission officials do not know why a student has failed to verify their academic credentials.***

Campuses remind students of the need to submit official documents by the deadline. Though the number and type varies, these reminders begin when students submit their Statement-of-Intent-to-Register (SIR) on the campus’ web portal. (Student submission of the SIR is dependent on them agreeing to send all needed academic documents by the posted deadline.)

UC campuses send at least two e-mail reminders to students prior to the July 1 deadline. Following the July 1 deadline, campuses, on average, send an additional two e-mail reminders to students. In addition, all campuses communicate important dates and deadlines in their online student portal, as well as on admissions websites and publications, and during admitted student yield events. The student portal displays key tasks, deadlines, and messages prominently, including reminders to students to contact campus admissions offices with questions.

Unless the student contacts the campus, UC admissions officials have no way of knowing why a student has not submitted needed documents. Typically, however, students fail to submit a transcript for three reasons: they overlooked the deadline, failed to fulfill the academic conditions of the admissions contract, or chose to attend college elsewhere or not to enroll anywhere in the fall.

**6. *Students are not in complete control when delivering documents required for verification to the University. Unless the student requests delivery proof, students and their families either do not know or do not have evidence that documents required for admissions verification have been delivered.***

Although students are responsible for requesting that transcripts and other test scores be sent to a college, only the institution of record (i.e., a high school or college) can certify and send an official transcript. Despite the fact that a student may have made a timely request, it is possible that non-receipt at a UC campus will be out of the hands of the student.<sup>4</sup>

**7. *Confirming intention to enroll as early as possible is important for student support and academic planning purposes. Although campuses often grant extensions to admitted students in submitting required admissions verification documents, multiple extensions can actually work to the disservice of students.***

In addition to confirming the academic qualifications of new students, campuses use the verification process to prepare for the fall term. Campuses plan course offerings, housing commitments, dining services, orientation programs, and other student services based on the number of students who plan to attend the campus in the fall. The earlier a campus can confirm that a student is actually planning to attend in the fall – by meeting all conditions of admission – the more effectively it can plan for and deliver necessary academic offerings and co-curricular programs and services. Students who do not plan to enroll in the fall remain on wait lists, preventing other students from accessing such services.

UC's July 1 deadline for submission of official transcripts also benefits students, especially students who have jeopardized their admission by performing poorly in the final term of their high school or community college careers. For example, campuses may be willing to defer a student's admission to a later term if the student agrees to repeat a course and earn a higher grade. The campus may be willing to admit the student in the fall term, if the student completes a specific course at the University that demonstrates mastery of the subject or skills in question. Campuses cannot initiate these conversations, however, unless the student contacts the admission office or sends the campus an official transcript. Student and institutional options become more constrained as the fall term approaches.

**8. *To provide admitted students with every chance of securing their admission, campuses look for corroborating information to confirm student intentions for the fall.***

Before withdrawing the admission of any student, campuses rely on other evidence to determine if any given student is planning to attend in the fall. For example, a campus may

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<sup>4</sup> The Office of the President regularly informs UC campuses of high schools, community colleges, or other organizations that may have trouble generating a transcript in time to meet UC's deadlines and instructs them to hold harmless students from these schools.

check to see if the student is planning to attend summer orientation, has signed up for student housing, has accepted their aid offer, or has attempted to enroll in classes. None of these circumstances alone verifies students' intention to enroll, but nonetheless provide helpful direction for outreach efforts. Conversely, students who have not demonstrated such affirmative behavior – and who have not submitted official documents – may be signaling that they do not intend to enroll in the fall.

**9. UC's deadlines for receipt of academic documents are aligned with deadlines required at other colleges and universities around the country. In fact, almost all new UC students verify academic credentials in a timely manner (97.5%), adhering to these deadlines.**

Most selective postsecondary institutions in America require an official transcript and official test scores as a condition of admission to the institution. Appendix 3 provides examples of submission dates for public and private colleges and universities nationally.

**10. All campuses have processes for students to appeal if a campus has withdrawn their admission, but some are easier to navigate for students than others.**

Although all campuses have an appeal process, instructions to students and the process for filing an appeal vary considerably from campus-to-campus. Processes tend to be more explicit at those campuses that initiate more admission withdrawals.

**Task Force Recommendations & Best Practices**

The Task Force believes that the credibility of the institution's admissions process depends on clarity of purposes and effectiveness of implementation with respect to these purposes. The central purposes of admissions verification are to: 1) ensure the integrity and fairness of admissions processes and 2) help ensure that new students are properly prepared for the rigors of the University.

The Task Force focused its efforts on how campuses conduct their verification processes and whether they should revise them in ways that might make the overall operation more effective for new students and the institution. Findings from this review indicate that, generally speaking, campuses make strong efforts to solicit documents from new students that are fair, but more than that, humane and thoroughgoing. Notwithstanding, the Task Force recommends several adjustments in current practice, which it believes will enhance its interactions with new students and speed the process of academic verification across the system. These recommendations represent best practices already employed by most UC campuses, as well as

universities/colleges around the country. Systemwide adherence to these practices will assure the public of greater consistency and transparency.

**For Immediate Implementation for the Current Admissions Cycle:**

- 1. Campuses will not use the academic verification process as a way to manage campus enrollment.**
- 2. All campuses will send at least two direct communications prior to the July 1 deadline.**
- 3. Campuses will send notices via mail to the applicant's current postal address to encourage students to follow through on the final steps prior to enrollment.**
- 4. The University will maintain a grace period after published deadlines and send a minimum of two direct reminder communications prior to taking any action on new students who have not completed the steps to enrollment.**
- 5. Campuses will consider alternative practices before withdrawing a student's admission, such as placing a hold on enrollment.**
- 6. Campuses will review other measures of students' enrollment commitment, such as participation in orientation, submitting a housing deposit, issuance of an I-9 and/or registration in classes, to assess their likelihood of enrolling in the fall and targeting any additional outreach efforts.**
- 7. Notification of withdrawal of admission will include clear instructions and deadlines for appeals.**

**For Possible Implementation Later Pending Additional Study:**

- 8. Expand UC's ability to accept official academic records electronically.**
- 9. Send phone and/or text messages to students to remind them to check their email and/or portal for important deadlines and communications.**

## APPENDIX 1

### Charge: Task Force Reviewing UC's Academic Verification Process for Undergraduate Admission

As a public institution, the University of California must maintain the integrity of its admissions process by verifying the credentials of the student it admits. UC requires official final transcripts and test scores prior to UC enrollment to ensure students have met all the conditions for admission (such as completing academic subject area requirements for freshmen or pre-major requirements for transfers) and that the last two terms' coursework were successfully completed. These records allow for placement in level-appropriate courses and ensure students do not duplicate college level work at the University. Campuses also use official transcripts and test scores to award academic credit to the student. This credit helps move the student toward University graduation in a timely manner. Additionally, the institution must also serve as an advocate for the students it admits, providing these individuals with reasonable opportunities to supply needed and necessary documentation of the academic accomplishments.

#### Charge

The charge of the Admissions Verification Task Force is to review and recommend policies and best practices for the academic verification process across the nine undergraduate campuses. In developing these recommendations, the Task force will:

- Consider if our current academic verification process is adequate and/or necessary or if the process should be changed and/or amended
- Consider the effectiveness and timeliness of communications to admitted students regarding the verification of official transcripts, test scores, and other documents, as well as the appeals process;
- Review whether the number and type of solicited documents can be reduced or provided in other, more effective ways;
- Review the extent to which UC's need for transcript and test score information is aligned effectively with K-12 schools', community colleges', and testing organizations' ability to generate this information;
- Assess the needs of the campuses to maintain the academic integrity of the admission process;

- Consider the adequacy of the appeals process at each campus; and
- Recommend practices that may better serve students and the institution in verifying the academic qualifications of admitted students.

The Task Force will adhere to an aggressive timeline, culminating in a report to the President and set of recommendations to be considered by the Board of Regents at its November 2017 meeting.

INTERIM DRAFT REPORT



**APPENDIX 2**  
**Academic Verification Task Force Members**

Michael T. Brown (Chair)	Provost and Executive Vice President, UCOP
Philip A. Ballinger	Associate Vice Provost, Enrollment & Undergraduate Admissions, University of Washington
Adele Brumfield	Associate Vice Chancellor, Enrollment Management, UC San Diego
Youlonda Copeland-Morgan	Vice Provost, Enrollment Management, UCLA
Emily Engelschall	Director, Undergraduate Admissions, UC Riverside
Chantelle Gil	UCSA Representative, UC Irvine
Stephen Handel	Associate Vice President, Undergraduate Admissions, UCOP
Robin Holmes-Sullivan	Vice President, Student Affairs, UCOP
Kent Hopkins	Vice President, Enrollment Services, Arizona State University
Amy Jarich	Interim Associate Vice Chancellor of Admission & Enrollment, UC Berkeley
Jenny Kao	Chief Policy Advisor, President's Executive Office, UCOP
Patricia Morales	Executive Director of Undergraduate Admissions, UC Irvine
Charles Nies	Vice Chancellor, Student Affairs, UC Merced
Lisa Przekop	Director, Undergraduate Admissions, UC Santa Barbara
Walter Robinson	Associate Vice Chancellor, Enrollment Management, UC Davis
Henry Sanchez	Chair, Board of Admissions & Relations with Schools (BOARS), UC San Francisco
Michelle Whittingham	Associate Vice Chancellor, Enrollment Management, UC Santa Cruz
Han Mi Yoon-Wu	Director, Undergraduate Admissions, UCOP Primary staff support to the Task Force

**APPENDIX 3**  
**Freshman and Transfer Student Transcript Deadlines for**  
**Public and Private Colleges and Universities**

<b>Public Institution</b>	<b>Freshman Transcript Deadline</b>	<b>Transfer Student Transcript Deadline</b>
Univ. of Arizona	As soon as available after graduation	After completion of last semester in progress and prior to enrollment.
California State Univ. (Systemwide)	Varies by campus: ranges from June 30 – August 12	Varies by campus: ranges from June 30 – August 19
Univ. of Florida	July 31	After completion of the last semester in progress and prior to enrollment.
U of Illinois	July 10	Final transcript: June 15
U of Michigan (Ann Arbor)	As soon as available after graduation	Due with application
SUNY (Buffalo)	As soon as available after graduation	After completion of the last semester in progress and prior to enrollment.
University of Texas (Austin)	June 1	June 1
UVA	As soon as available after graduation	After completion of the last semester in progress and prior to enrollment.
U of Washington	July 15	Final transcript: July 15
<b>Private Institutions</b>	<b>Freshman Transcript Deadline</b>	<b>Transfer Transcript Deadline</b>
Harvard	July 1	July 1
MIT	June 20	After completion of the last semester in progress and prior to enrollment.
Stanford	July 1	July 15
USC	July 1	After completion of the last semester in progress and prior to enrollment.