

Policy for Self-Supporting Degree Programs**January 21, 2014****Source Documents: UCOP Policy on Self-Supporting Graduate Degree Programs, UCD PPM 200-26, and the Final Report from the Task Force on Self-Supporting Degree Programs***Exhibit A – Requirements and Responsibility Matrix for SSDPs**Exhibit B – Example SSDP Financial Model**Exhibit C –Approval Process and Timeline for Proposals***Purpose**

In addition to the stipulations in this document, Self-Supporting Graduate Degree Programs (SSDPs) must meet the definitions, criteria, and procedures specified in:

- the [UCOP Policy on Self-Supporting Graduate Degree Programs](#);
- [section 200-26](#) of the UC Davis Policy and Procedure Manual; and
- the [UC Davis Graduate Council Procedures for Establishing a New Graduate Degree Program](#).

Policy**I. General**

- A. Any academic unit authorized to conduct graduate work under the jurisdiction of the Graduate Studies and the Graduate Council (e.g. departments, graduate groups, schools, colleges or divisions) may propose a self-supporting degree program.
- B. An SSDP must have appropriate administrative structures in place to adequately administer the program, similar to those provided for a state-supported program, including identification of a Lead Dean.
- C. An SSDP should primarily serve professionals seeking to advance in their career.
- D. An SSDP should offer the Master of Advanced Studies (M.A.S.) degree title regularly used to denote self-supporting programs for professionals, but may offer any relevant degree title (M.S., M.A., etc.) if justified by the discipline or workforce training requirements.
- E. An SSDP should offer a master's program under the Plan II capstone option (exam), or may offer a Plan I capstone (research thesis) if justified by the discipline or workforce training requirements, expectations, or practices in the field.
- F. An academic master's degree program that solely or primarily leads to a Ph.D. is not eligible for self-supporting status; the Graduate Council has the authority to determine whether a graduate program is eligible for self-supporting status under this definition.
- G. A unit may offer one degree program under the same program name with two tracks – one self-supporting and one state-supported – provided both tracks use the same degree requirements (in order to offer the same degree name), strong rationale outlining the need for both tracks is provided, and the self-supporting track meets the criteria noted in the UCOP policy. Quality standards for admission, coursework, and student progress and degree certification must be identical between the tracks; however, the self-supporting track may include additional admission requirements (e.g. work experience). Students in each track must be accounted for separately in financial reporting processes. The self-supporting track is required to be approved separately from the state-supported track as a new program under this policy.
- H. State-funded graduate programs discontinued for quality or academic concerns are not eligible for conversion to self-supporting status.
- I. Memoranda of Understanding: The Lead Dean must enter into MOU's with all entities providing administrative or academic services to the SSDP and these MOU's must be updated regularly and when a new partner is included or when an existing partnership is dissolved. Graduate Studies is the office of record for these MOU's. Examples of required MOU's include: distribution

of revenue and surplus revenue to partners; teaching and compensation agreements with departments, groups or deans; administrative activities; and partnering with a unit to allow for SSDP student enrollment in state-supported courses.

If the Lead Dean is responsible for the administrative aspects of an SSDP, an MOU is required outlining the specific activities provided and how they will be accounted for in a manner that is clearly separate from any similar support provided to other programs that are also under the purview of that Dean.

II. Faculty and Teaching Resources

- A. Teaching Compensation Plan: Each SSDP must develop a compensation plan for teaching in the SSDP approved by the SSDP chair and lead dean. In developing a compensation plan, the SSDP should take into consideration faculty workload based upon the total teaching load (per appointing department policies), the mentoring of graduate students, service to the SSDP, and faculty salary and benefits. Faculty benefits are paid proportionally from the funding source that covers the faculty member's salary.

The options for faculty compensation are:

1. Prorating the faculty salary based on teaching in SSDP in proportion to the total teaching load (freeing up a portion of regular salary for other use by the faculty member's home academic unit).
 2. Course swap, whereby a portion of a faculty member's normal teaching commitment is exchanged for teaching in a SSDP (freeing up a portion of regular salary for other use by the faculty member's home academic unit).
 3. Overload payments per campus policies.
 4. Additional compensation through summer salary.
 5. Additional compensation that could be distributed through a negotiated compensation plan, such as the Health Sciences Compensation plan in the School of Medicine, or any other similar plan that may be available. Academic unit compensation plan policies and implementation procedures may need to be revised to address the distribution of revenue from an SSDP prior to using this method of compensation.
- B. Each department with faculty participating in an SSDP must establish a teaching policy, approved by the department chair, for graduate education that addresses teaching in department-based graduate programs, graduate groups, and self-supporting programs and considers a balance between graduate teaching, research and mentoring. This policy is separate from the SSDP teaching compensation plan.
- C. Agreements regarding the teaching commitment of individual faculty involved in an SSDP must be made between the chair of the SSDP and the chair of the faculty member's home department and must take into consideration both teaching and service responsibilities.
- D. The proportion of non-regular faculty (e.g. clinical/adjunct faculty, lecturers, visitors) to regular faculty teaching in the SSDP must conform to the standards of Graduate Council, as approved during the proposal process, in program review, and as concerns arise.
- E. Funds from a SSDP may be used to hire faculty, provided the appointment is made through the regular appointment processes of a school/college/division participating in the SSDP consistent with all relevant academic personnel policies. Faculty hired on SSDP funds are the responsibility of the school/college/division in which the faculty holds an appointment; therefore, should SSDP funds become unavailable to fund the faculty appointment (e.g. discontinuation of the SSDP), the responsibility for the salary, merit and promotion, and benefits for the faculty remains with the school/college/division in which the faculty holds an appointment.

In the case of faculty hired on contract or other limited-term arrangements, the academic unit in which the appointment was made would be expected to meet the terms of the contract or agreement and/or follow the relevant lay-off procedures to ultimately eliminate the position. This may require some amount of transition time and resources, and must be considered in establishing a program reserve.

III. Admission and Enrollment

- A. Students enrolling in an SSDP must be admitted by Graduate Studies through regular admission processes, and meet the standards and policies for enrollment and progress as established by UCOP, Graduate Studies, Graduate Council, and the program.
- B. Admission criteria may specify some type or period of work experience in the field.
- C. A SSDP may allow for full and/or part-time enrollment, as DDR 702 stipulates, and as approved by the Graduate Council.
- D. State-supported and self-supported students may enroll in the same course, including cross-listed courses, as long as a separate accounting for the self-supporting and state-supporting costs is made. For courses part of the regular program of study, the SSDP must have an MOU in place with the participating state supported unit as to how costs will be reimbursed or revenue from the SSDP shared in a manner that offsets the cost of the SSDP student participation in the course. SSDP students must receive approval from the SSDP program prior to enrolling in state-supported courses; it is the responsibility of the SSDP program to monitor student enrollment and it must reimburse or share revenue in a manner that offsets the cost of the SSDP student participation in the course. State-supported students may enroll in a self-supporting course, provided they pay the fees associated with that course.
- E. Access to courses offered as part of an SSDP must be equally available to all qualified students. No preference in enrollment may be given to members of any non-University organization. Courses offered by an SSDP are subject to the authority of the Academic Senate; development, modification and cancellation of courses are guided by the policies and processes of the Senate.
- F. Students may dual enroll in a self-supporting and a state-supported degree program, provided they pay both sets of fees; no blended tuition and/or fees may be charged; however, students will not be required to pay double compulsory campus fees or health insurance fees. Programs must adhere to the deadlines established by the Registrar to assure tuition, fees, and charges are assessed in a timely manner. Admission to each program must be separate and distinct using regular admission processes for each program; students wishing to dual enroll may use the *Petition for Change of Graduate Major, Degree Objective, or Double Graduate Major* form.
- G. SSDP students may register in filing fee status provided the SSDP has an established policy allowing for filing fee status.
- H. SSDP students may file for the [Planned Educational Leave Program \(PELP\)](#) following the established policies and procedures from Graduate Studies.
- I. SSDP students may not register *In Absentia*.
- J. Refund of fees should follow the regular [deadlines and schedules](#) established for all other programs on campus.

IV. Funding and Fees

- A. In general, it is expected that SSDPs will be fully supported from the fees collected from students in the program.

- B. Additional funds can be used to support an SSDP as long as they are not state funds or derived from the tuition or fees collected from state-supported students. In order to use non-state and non-SSDP fee funds to support the SSDP program, the unit offering the SSDP must determine that it is necessary to meet a critical strategic need under the following circumstances: as seed funding for implementation, for limited-term expenses (such as a short-term grant or gift), and only for ongoing costs if the funds are from a permanent source (e.g. an endowment). However, should the program not reach self-support within the specified phase-in period or if the funding mechanism negatively impacts state-supported programs, these funds should be withdrawn, as SSDPs must be based on a sustainable long-term model with student fees as the primary fund source. Regardless of the external funds available to support the program, students must pay fees at a level determined by program cost and market, so as to avoid artificially low fees that affect the financial sustainability of the program.
- C. Fees must be levied such that they cover all program costs, are based on a full and accurate assessment of program costs and are consistent with competitive fees for a similar program offered by another highly-regarded university. Fees cannot be less than the tuition and fees charged to a resident graduate student in a state-supported program on a per year equivalent basis.
- D. Programs may charge a fee differential to non-residents, if approved through the annual UCOP fee process.
- E. A program must maintain a prudent reserve to carry the program through low enrollment years or a planned discontinuance. Surplus revenue, the net revenue after a planned deposit to program reserves, will remain with the academic unit offering the program to be distributed as specified in any MOU's (see section I.I). In general, it is expected that the lead dean will have discretion over the use of surplus revenue to support the academic mission of that unit; however, it is recommended that a portion of the surplus revenue be dedicated to academic graduate student support or used to enhance the quality of other graduate programs within the unit.
- F. Access to Student Services: SSDPs must select one of the following options regarding student access to campus services. This option may be changed during the annual fee proposal process, with appropriate and documented student consultation. There are three options from which to choose and each applies to all the students in the program (not on an individual student basis):
- Full access and representation: students are charged the same as any other academic graduate student for the same level of access to student services (for example, fees for GSA/LSA, MU, Facilities, Health Services, Health Insurance, Student Services, etc.).
 - Partial access and representation: students are charged for access to Library services and Health Insurance (with Health Services fee), and pay fees for GSA/LSA representation.
 - Access to Health Insurance only (with Health Services fee).

All students must be covered by health insurance through SHIP, private or employer-provided. A SHIP waiver must be completed by those covered by private or employer-provided insurance by the deadline established; students are responsible to pay the SHIP and Health Services fees if their waiver is denied.

V. Student Academic Appointments

Students enrolled in a SSDP are eligible for teaching and research appointments as stipulated in APM Appendix II-B and any other related policies.

VI. New Program Proposals

New program proposals must follow the process outlined here. Proposals to convert a state-supported program to self-supporting are considered new program proposals and must follow the same process; in addition, they must provide a plan for transitioning entirely to self-supporting within three years.

- A. An SSDP proposal follows the procedure outlined in PPM 200-26, PPM 200-25, and the Graduate Council. If the viability for the proposed program is not clearly demonstrated at each step, the proposal shall not continue as-is and substantial revision of the proposal and a new, positive review will be required to proceed to the next step towards approval.
 1. **Steering Committee:** An SSDP must be developed primarily by interested faculty with expertise in the subject matter (secondary considerations for SSDP development include whether there is a market need and strategic value to the campus). Faculty interested in SSDP development should consult with the SSDP Coordinating Team (located in Graduate Studies) early in the process to ensure proposal completeness. Interested faculty meet and select a Steering Committee to be formally appointed by the Vice Provost - Graduate Education and Dean - Graduate Studies; the Steering Committee develops a preliminary outline of a program for presentation to an appropriate dean for sponsorship.
 2. **Initial Strategic Review by Campus Leadership:** The proposed Lead Dean submits a letter of intent to the Vice Provost - Graduate Education and Dean - Graduate Studies describing the proposed program, its alignment with the campus's strategic plan, and justification of the academic need and financial incentive for the program. The letter of intent is presented to the Council of Deans by the Vice Provost - Graduate Education and Dean - Graduate Studies for review. The review will assess how the proposed program aligns with the strategic vision for graduate education, address concerns regarding protection of the UC Davis brand, and guards against degree establishment solely on the basis of financial incentive. Additionally, it is expected that early screening may reduce the workload and timeframe of establishing new degrees by eliminating some proposals early in the process, leaving more time for staff and faculty to focus on more viable programs.
 3. **Market Analysis:** A comprehensive market analysis based on empirical data must be completed either by the program or the SSDP Coordinating Team that addresses: the target audience for the program, demand for the program, level of fees that potential students may be willing to pay for the program, other programs that exist that would compete for the target audience, and potential program enrollment.
 4. **Proposal Preparation:** Following procedures outlined by the Graduate Council and consistent with the Compendium, the Steering Committee completes the proposal in consultation with the SSDP Coordinating Team and submits it to the Vice Provost - Graduate Education and Dean - Graduate Studies. Preparation includes development of the academic program, budget, teaching compensation policy, and required MOU's. In addition, the proposal must identify at what level its students will have access to student services.
 - a. Academic Program: Refer to the Graduate Council requirements.
 - b. Budget: All academic and administrative activities must be reflected in the financial plan and funded appropriately for the size of the program. For examples of the components of activities that should be established and funded by SSDP resources, consult *Exhibit A – Requirements and Responsibility Matrix for SSDPs* and *Exhibit B – Example SSDP Financial Model*.

- c. Teaching Compensation Plan: Each SSDP must develop a compensation plan for teaching in the SSDP. See section II.A. for details.
 - d. Required MOU's. See sections I.I., III.D., IV.E.
 - e. Student Services: SSDPs must select one of the options in section IV.F. regarding student access to campus services.
5. **Administrative Review by ARM/BIA:** The Vice Provost - Graduate Education and Dean - Graduate Studies submits the proposal to ARM/BIA. This step is intended to be completed by BIA within 30 days of submission of complete information and data needed for the review. BIA will assess the completed market analysis and proposed budget for the program. The review provides a cost analysis to ensure that the necessary operating expenses have been identified and can be recovered through the proposed enrollment and fees. Should this review find that the proposed program is not financially viable, the proposal may be revised and resubmitted for review. Only financially viable proposals may move to the next step in the approval process. (See *Exhibit B – Example SSDP Financial Model* for common expense categories that should be considered in a program's proposed budget.)
 6. **Graduate Council Review and Approval:** After the proposal is finalized, the Vice Provost - Graduate Education and Dean - Graduate Studies submits it to the Graduate Council for review. The Graduate Council solicits external reviews, requests proposal revisions and consults with Committee on Planning and Budget and other Academic Senate committees, as needed.
 7. **Chancellor Approval:** The Council of Deans and Vice Chancellors (CODVC) reviews the proposal and recommends action to the Chancellor.
 8. **Coordinating Committee on Graduate Affairs (CCGA) and UCOP Review and Approval:** The Chancellor submits the approved proposal for review and approval by CCGA and by UCOP. Other approvals may be necessary (WASC or Assembly). Depending on the timing of the submission, the fee proposal may be submitted to UCOP for approval, as well.
 9. **Campus Notification:** After the campus is notified that the proposal has been approved by UCOP, a Chair for the SSDP is appointed and Banner and course codes are requested. If not already submitted, the fee proposal is submitted to UCOP for approval. Admissions are opened as regular processes allow.
 10. **Program Review:** The Graduate Council reviews new programs after three years, and thereafter on a regular schedule. Program Reviews include a campus audit or budget review if requested by the Vice Provost - Graduate Education and Dean - Graduate Studies or Academic Senate. SSDP fees are approved on an annual basis by UCOP and coordinated by the Administrative and Resource Management, Budget and Institutional Analysis Office.

VII. Suspension of Admissions and Discontinuance Procedures

Suspension of admissions and discontinuances follow the same process as for all other graduate programs outlined in [PPM 200-25](#) and [GS2006-01](#) (Graduate Studies policy on Suspension of Admissions). Lack of financial viability is a valid and appropriate criterion for suspension or discontinuation of the program. A phase-out plan should be developed in consultation with program faculty, students and staff which identifies the steps and costs necessary to guide the remaining students to successful completion of the program. The plan should note the responsibilities of the faculty, the responsible academic unit, and the lead dean through phase-out.

Exhibit A

Requirements and Responsibility Matrix for SSDPs

	A	B	C	D	E	F	G
1			Required for all SSDPs?		Primary Entity Responsible		
2	Activity	Definitions and Explanation (References applicable Task Force Recommendations)	Required	Optional	Academic Responsibility	Administrative Responsibility	Either
3	Financial Management						
4	Program Accounting	Provide financial services in accordance with all applicable policies (campus, GAAP, etc.)	X			X	
5	Annual Program Budget Development	Develop an annual program budget that identifies all costs associated with the program and allocates them to the required expenditure categories. See Exhibit B - Example Financial Model.	X		X	X	
6	Program Budget Monitoring	Regularly monitor the status of the budget throughout the year.	X		x	X	
7	Annual Fee Development/Approval	Provide required information to support fee review and approval processes. <i>Determination of fee levels should include factors indicated in section II and V of the policy.</i>	X		X	X	
8	Fee Collection	Establishing process for collecting fees. This may include agreement with other campus entities that perform this service (i.e. Cashier).	X			X	
9	Coordinate payment of all program costs	Manage invoicing as well as payment for internal agreements, faculty and staff payroll in coordination with the home unit, and appropriate allocation of any overhead charges.	X			X	
10	Purchasing of all program supplies and equipment.	Manage procurement for needed program supplies and equipment per campus policies.	X			X	

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1			Required for all SSDPs?		Primary Entity Responsible		
2	Activity	Definitions and Explanation (References applicable Task Force Recommendations)	Required	Optional	Academic Responsibility	Administrative Responsibility	Either
11	Establish all necessary financial agreements for program operations.	Negotiate and fully document, per campus policy, any financial agreements with internal and external partners. This may include MOUs, contracts, grants and similar arrangements. DCA's should be covered in the campus assessment.	X			X	
12	Establish Financial Aid Policy that will apply to Students in the Program.	Per PPM 200-26, section II.D.: SSDPs must establish and maintain a financial accessibility goal for students and a student financial support plan, if needed, for achieving the goal.	X		X		
13	Providing Financial Aid to Students	Ensure that procedures are in place to provide financial aid to the students consistent with the program's financial aid policy and relevant campus policies.	X			X	
14	Establish an MOU between the Lead Dean and any participating department(s), graduate group(s), and/or other deans regarding the distribution of surplus revenue generated by the program and responsibility for risk should the program not be self-sustaining.	See policy section III.A.4.d. and V.E.	X		X	X	
15	Disburse any surplus revenue per MOU.		X			X	
16	Ensure that an appropriate reserve is established and maintained to address the potential financial risk for an SSDP should it not be able to maintain a self-supporting model.	See policy section V.E. and PPM 200-26, section III.B.3.	X		X	X	
17	Program Management						
18	Establish degree curriculum	Curriculum must be reviewed and approved per all relevant UC policies.	X		X		

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1			Required for all SSDPs?		Primary Entity Responsible		
2	Activity	Definitions and Explanation (References applicable Task Force Recommendations)	Required	Optional	Academic Responsibility	Administrative Responsibility	Either
19	Establish course content	Courses must be reviewed and approved per all relevant UC policies.	X		X		
20	Maintain degree quality	Ensure that the same quality standards for the program are met and maintained as for state-supported programs.	X		X		
21	Responsible for program review process.	per UC and campus policies.	X		X		
22	Responsible for any program accreditation processes, including assurance of learning or adhering to learning objectives.	If there is an accrediting entity for the program, per the accrediting entity's policies. <i>May also require coordination with Administrative Unit depending upon the accreditation requirements.</i>		X	X		
23	Ensure that MOU is in place and current between the Academic Unit and an Administrative Unit that provides support to the program.	See policy section III.A.4.d. and PPM 200-26, section IV.A.2.d.	X		X	X	
24	Establish a policy regarding the use of student services, "Filing Fee" status, and enrollment in courses that are state supported.	Per policy section IV.	X		X		
25	Establish annual enrollment goals.	These goals may include both the total number of students as well as address any diversity goals for the program, and any other campus planning activities.	X		X	X	
26	Establish a teaching policy for faculty participation in the SSDP.	Per policy section II and PPM 200-26, section IV.A.2.a.	X		X		
27	Establish an MOU between the Lead Dean and any participating department(s), graduate group(s), and/or other deans regarding the teaching commitment of faculty and method of compensation.	See policy section III.A.4.d. and PPM 200-26, section IV.A.2.d.	X		X	X	

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1			Required for all SSDPs?		Primary Entity Responsible		
2	Activity	Definitions and Explanation (References applicable Task Force Recommendations)	Required	Optional	Academic Responsibility	Administrative Responsibility	Either
28	If necessary, establish an MOU between the Lead Dean and another academic unit who may provide SSDP students with access to state-supported courses.	See policy section III.A.4.d. and PPM 200-26, section IV.A.2.d.	X		X	X	
29	Establish dedicated Program Coordinator position.	This position may be responsible for many of the tasks outlined in this matrix. Goal is to ensure dedicated staff support, primarily for administrative support functions. Could be a percentage of time, but needs to be reasonable to support the size of program. Would likely sit in Administrative Unit, but would need to coordinate closely with Academic Unit. Terms related to the responsibilities of this position may need to be included in the model MOU so that Academic Unit is aware of level of service to be expected from this position.	X			X	
30	Ensure that faculty are assigned to program courses each year.		X		X		
31	Establish/Request program BANNER code(s) and course prefix codes for BANNER/Registrar's Office (one time)	Banner code requests for all graduate programs originates from the Dean of Graduate Studies	X				
32	Maintain course schedules (annual)	All the work that has to be done to get course in the system, assign teaching, rooms, etc.	X		X	X	
33	Provide facilities for program instruction and activities		X				X
34	Provide facilities for program faculty (offices, etc.)		X			X	

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2	Activity	Definitions and Explanation (References applicable Task Force Recommendations)	Required	Optional	Academic Responsibility	Administrative Responsibility	Either
35	Provide facilities for program staff		X			X	
36	Coordinate any needed facility leases for the program.	This would most likely be for off-campus programs.	X			X	
37	Assist in management of any copyright, trademark issues related to the program or course materials.	Only as needed. Could be part of services provided by Administrative Unit or maintained by Academic Unit.		X			X
38	Coordinate availability of text books, text pacs, etc.	Work with bookstore or other vendors to make course materials available.	X			X	
39	Assist with developing program and course format innovations.	This could include things such as online course delivery, alternate schedules, alternate locations, etc. Does not refer to course content, only delivery.		X			X
40	Recruit, hire, appoint, provide support, supervise, and evaluate program faculty and teaching assistants per policies for all other similar employees.		X		X		
41	Ensure that program instructors have appropriate faculty appointments.	See policy section II and III.A.4.c.	X		X		
42	Student Services						
43	Establish program application deadlines	Graduate Studies offers numerous deadlines to choose from; faculty in the program decide.	X		X		
44	Establish program application criteria and admission process	Must adhere to minimums required by UC, Graduate Council and the Office of Graduate Studies. Faculty in program have responsibility for further criteria. See policy section IV.	X		X		
45	Manage application review process.	Program staff and faculty have this responsibility.	X		X		
46	Coordinate course evaluation process	Additional administrative support for this process could be provided by Administrative Unit.	X		X		

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1			Required for all SSDPs?		Primary Entity Responsible		
2	Activity	Definitions and Explanation (References applicable Task Force Recommendations)	Required	Optional	Academic Responsibility	Administrative Responsibility	Either
47	Coordinate grading process	Additional administrative support for this process could be provided by Administrative Unit.	X		X		
48	Coordinate course enrollment management	For both SSDP courses and any enrollment in state-supported courses per policy section IV.D. and IV.E.	X			X	
49	Determine what campus student services the SSDP students should have access to and will pay associated fees for.	See policy III.A.4.e.	X		X		
50	Interface with other campus units to ensure student access to campus services as determined by the program.	See policy III.A.4.e.	X			X	
51	Assist students in accessing the Planned Educational Leave Program as necessary.	See policy IV.H.	X		X		
52	Assist international students with visa issues		X			X	
53	Track and inform faculty of student progress.		X				X
54	Coordinate registration of non-program students in program courses and program students in other courses.	For both SSDP courses and any enrollment in state-supported courses per policy section IV.D. and IV.E.	X			X	
55	Provide students with program orientation.			X			X
56	Provide students with career services support.			X			X
57	Provide academic advising to students.		X		X		
58	Provide alumni services.			X			X
59	Marketing and Outreach						
60	Ensure that an initial market research study is conducted to determine program viability and market.	The academic unit is expected to ensure that this activity occurs, however it may be appropriate for an administrative unit to do the actual task. See policy III.A.3 and PPM 200-26, IV.A.2.b.	X		X	X	

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1			Required for all SSDPs?		Primary Entity Responsible		
2	Activity	Definitions and Explanation (References applicable Task Force Recommendations)	Required	Optional	Academic Responsibility	Administrative Responsibility	Either
61	Develop marketing strategies to meet enrollment goals.	Under UC policy, "Dean of the school or college offering the self-supporting program is responsible for assuring that program publicity and marketing meet the highest standards of quality and accuracy, and the Dean is accountable to the Academic Vice Chancellor for such representations." However, it may be appropriate and/or desirable to collaborate closely with the Administrative Unit in developing these strategies.	X		X	X	
62	Lead recruitment and marketing efforts.		X			X	
63	Implement and manage promotional materials and advertising.		X			X	
64	Provide inquiry and response call center services for prospective students.		X				X
65	Manage and host program website.		X				X
66	Conduct and/or organize program information meetings.			X			X
67	Develop content for program website and other promotional and outreach materials.		X		X	X	

Exhibit B: Sample Financial Model for Self-Supporting Degree Programs (SSDPs)

DESCRIPTION OF SAMPLE FINANCIAL MODEL

Figure 1, below, provides a schematic representation of a sample financial model for SSDPs by the budget category and campus entity that would likely provide the services or resources needed for SSDPs to operate. The goal of this sample is to provide SSDPs with a model for arranging financial relationships that takes into account:

- The SSDP governance structure reflected in UCOP and campus policies on SSDPs.
- Show how to align the flow of resources with responsibilities for implementing and managing an SSDP.
- This model assumes that an SSDP would have a single, distinct, program budget managed by one campus entity (the “Academic Unit”) which would cover all program costs, but that services and resources could be provided by a variety of campus units.

It should be noted that the sample financial model for SSDPs also takes into consideration how SSDPs are likely to integrate into the new incentive-based budget model that is being implemented for the campus. In particular, the “campus assessment” shown in this model will be determined and administered through the campus budget model.

This sample is based on the following principles and goals outlined by the Task Force on SSDPs which informed the campus policies:

Principle 1: Program budgets must address all costs of operating a UC Davis SSDP.

Goal: Ensure that SSDPs are not supplemented by state or tuition funds.

Goal: Ensure that all necessary costs are identified to support long-term program viability (especially as new programs are considered).

Goal: Support the expectation that true costs are considered as part of the annual student fee setting process for these programs.

Principle 2: Keep budget and accounting mechanisms simple.

Goal: Keep administrative burden for program operations reasonable.

Goal: Reduce use of direct cost agreements between academic and support units.

Goal: Provide more consistency between SSDPs in the process and costs for receiving comparable central campus services.

Goal: Basic budget structure must be flexible enough to accommodate variations in programmatic design and delivery.

Principle 3: SSDP programs should receive, and pay for, all appropriate central campus services and infrastructure as other degree programs offered by UC Davis.

Goal: Reduce or eliminate inconsistencies between the services provided and paid for by SSDPs across the campus.

Goal: Recognize that SSDPs operate in an environment that is supported by a comprehensive campus infrastructure that was developed and paid for by other fund sources over time.

Principle 4: The inherent risks and opportunities of offering an SSDP should be recognized and addressed in the financial model for these programs.

Goal: Support the expectation that, over time, SSDPs will generate surplus revenue that is reinvested in other academic programs.

Goal: Establish a mechanism for campus investment in SSDPs from appropriate fund sources.

Goal: Ensure that SSDPs establish an appropriate reserve to address the market and programmatic risks of a self-supporting program.

Following is a description of the figure and definitions of the terms used in the sample model.

ROLES OF CAMPUS ENTITIES IN MODEL

In Figure 1, the large gray boxes represent the type of campus entity that would have some role in either operating the SSDP or providing services to support the operations of the SSDP. Three types of entities are identified.

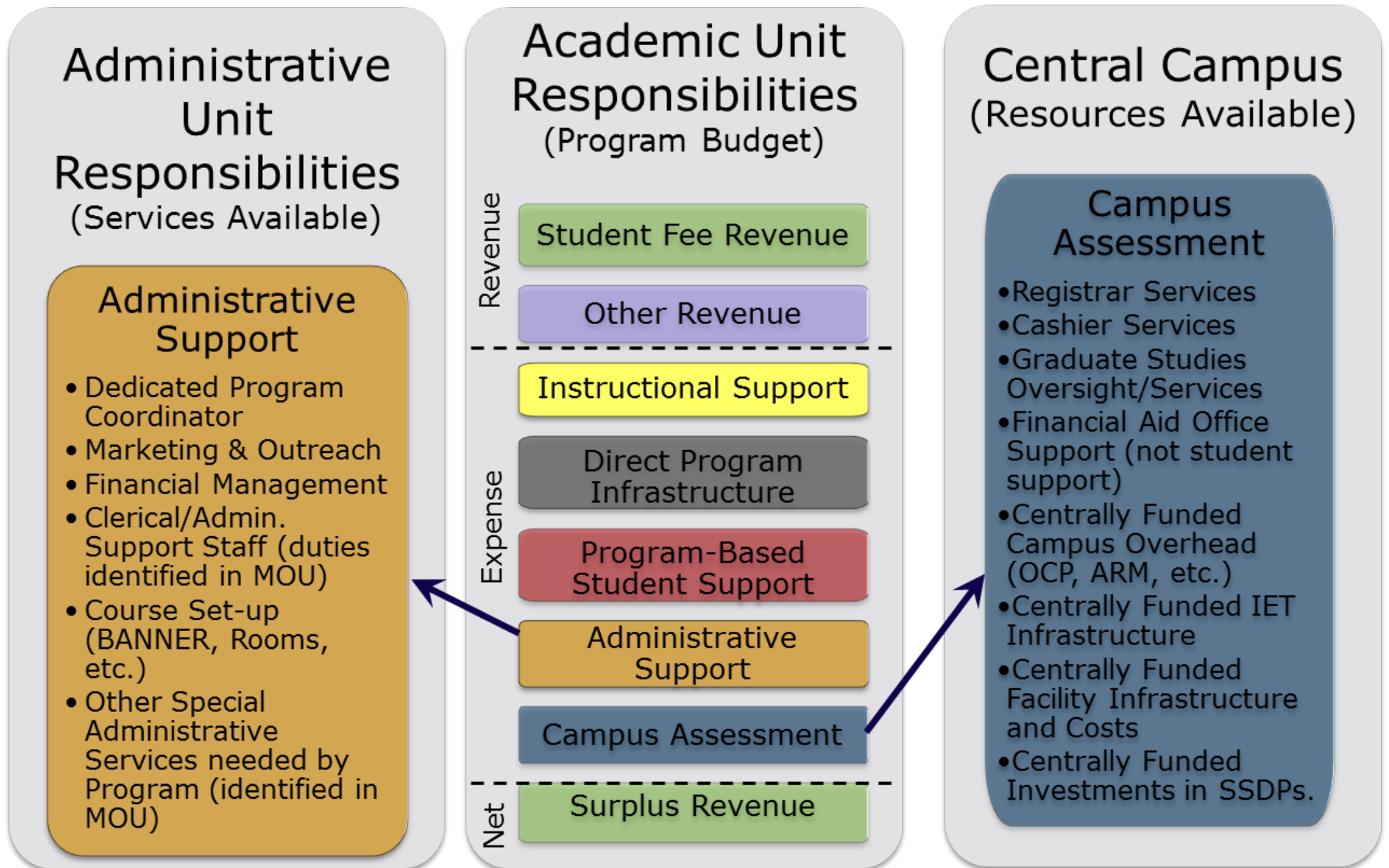
Academic Unit—The academic unit is the entity that has responsibility for all academic aspects of the program. This unit is accountable to an academic dean, who would have ultimate responsibility for the program. It is also the unit to which the benefit of any excess revenue the program would accrue. Since SSDPs are all graduate programs, the academic unit is likely to be a department, school, or graduate group. In the case of graduate groups, a lead dean would need to be identified. In the case of graduate groups that are cross department but within one school or college, the lead academic dean would be the school or college dean. In the case of graduate groups that involve faculty across multiple schools and colleges, the lead academic dean would need to be identified either from within those schools or colleges or would be the dean of Graduate Studies. (policy section I.B.)

In the sample financial model, the academic unit would be responsible for establishing and managing a distinct budget for all SSDP activities.

Administrative Unit—The administrative unit is the entity that has responsibility for providing dedicated administrative support services to the SSDP. Depending on the program, the administrative unit could be within the same unit as the academic unit. However, this model contemplates the ability of programs to use another campus entity to provide certain services to support the program via a single direct cost agreement. These type of arrangements may be beneficial in situations where an academic unit does not have capacity to provide the administrative services, when there may be economies of scale for several small SSDPs to leverage their resources to provide adequate staff support, and/or when an SSDP needs support from units with expertise in certain areas, such as marketing and outreach. In addition, clearly identifying the expected level of service provided to SSDPs by their administrative unit will help ensure that students in these programs are appropriately supported and that all costs are covered by the program.

Central Campus—The box labeled “Central Campus” represents all of the campus resources that an academic program needs to operate, or benefits from, by virtue of being a part of UC Davis. These resources are generally not provided by academic units and would not be unique or specifically dedicated to an SSDP, however, SSDPs could expect to receive the same level of access to these resources as all other academic programs. These resources can also take the form of underlying campuswide systems that are the result of long-term ongoing campus investments. The sample financial models suggests that, for purposes of gaining access to campuswide resources, SSDPs would be treated similar to all other academic units under the budget model and pay an “assessment.”

Figure 1: Sample SSDP Financial Model



SSDP BUDGET CATEGORIES

Exhibit A, the “SSDP Requirements and Responsibilities Matrix” identifies activities that SSDPs should perform and whether they would be the responsibility of the administrative unit or academic unit. The sample financial model identifies broad categories of program expenses under which the cost of all program activities should fall. The sample model also shows how funds could flow out of this model to other campus units that provide either administrative services or central campus resources.

In Figure 1, the colored boxes represent budget categories. The following is a description of each of these categories.

Student Fee Revenue and Surplus Revenue (green)—The primary revenue source for SSDPs is student fees. In this financial model, all student fee revenue would be directed to the academic unit for support of the program. This is consistent with the new campus budget model expectation that revenue will flow to the unit that generates it and that academic units are considered revenue generating. SSDPs would need to carefully estimate and track student enrollment to determine if they will have sufficient revenue to operate their program as envisioned. This is also critical to setting program fee levels. “Surplus revenue” represents the net revenue available after all program expenses are paid. These revenues would be used and distributed according to policy. (See GS2013-01, V.E.)

Other Revenue (purple)—Programs can receive other non-state and non-tuition or SSDP fee revenue if it meets a critical strategic need. These sources are typically specific grant funds (such as National Institutes of Health training grants), and could also be private donations or endowments. These sources should also be part of the program revenue base to cover specific expenditures. However, they generally cannot be part of “surplus revenue” that is ultimately directed outside of the individual SSDP. (See GS2013-01, V.B., and the [UCOP Policy on SSDPs](#), VI.E.)

Instructional Support (yellow)—Instructional support expenses are those that are directly related to providing the instruction to students in the program. Generally these expenses are associated with the faculty or other instructional staff who support the instructional aspects of the program. The expenses associated with these individuals should include payment of a share of their salary or overload, any associated benefits, and any other costs that can be directly attributed to the academic unit support of the faculty member. This category could also include other specific costs related to providing instruction in the SSDP, for example special course materials. It is generally expected that these costs are already a cost of the academic unit, although in the case of graduate groups a reimbursement to the faculty member’s “home” department may be necessary. (For specifics on faculty compensation, see GS2013-01, II.)

Direct Program Infrastructure (gray)—Direct administrative infrastructure refers to expenses that certain types of self-supporting programs may need to pay for, particularly if the program is offered off-campus, that might otherwise be considered part of the campus infrastructure. Some examples of this might be: lease costs for off-campus space, contractual information technology support for an off-campus location, use of campus auxiliary space that charges a fee (i.e. Mondavi Center or Conference Center) for program activities, additional information technology support related to online programs, and specific program-related equipment purchases.

Program-Based Student Support (red)—Program-based student support refers to financial aid type expenses that are directly funded from program revenues for students in the SSDP. Programs may choose to provide this type of support to their students. This is distinct from the administrative costs associated with SSDP students accessing services through the campus financial aid office.

Administrative Support (tan)—Administrative support expenses are those that provide dedicated support to the program and students in the program, not directly tied to instruction. Most of these expenses are likely to be staff support. For example, establishing a dedicated program coordinator and dedicated clerical support would fit in this category. Other types of contractual or program operating expenses should also be in this category, such as market research or advertising. In addition, there may be some level of “overhead” for administrative support provided by the academic unit, such as account

management, budget oversight, etc. As depicted in Figure 1, the services supported by administrative support expenses could be provided by either the academic unit or the administrative unit. If services are provided by an administrative unit that is different from the program's academic unit, a direct cost agreement and/or MOU would need to be in place specifying the services to be provided and the costs. If the administrative unit is a unit that receives central support for its operations from "campus assessment" revenue, then that unit should not charge the program an additional overhead charge for central support. It is also possible that this budget category could include a planned deficit, potentially to support program start-up, or, a planned reserve to save for specific program expenses, such as dedicated equipment.

Campus Assessment (blue)—A key concept in the incentive-based budget model is that revenue (tuition and fees) flows to "activity-based units" who generate the revenue (in this context, academic units with students) and "centrally budgeted units" are funded from an assessment on the expenditures of activity-based units. This proposal suggests that in general, SSDPs would be expected to pay the same campus assessment on expenditures that all other activity-based units will pay. By paying this assessment, the SSDP will receive equal access to campus resources that support academic programs. No separate expense (such as a Direct Cost Agreement) would be needed to access services provided by the centrally budgeted units. Additionally, payment of this assessment would eliminate the concern that SSDPs are in some way being supplemented by state or tuition resources by virtue of their use of existing campus infrastructure and administrative effort because they would be contributing to these costs at the same rate as all other academic programs. This concept is offered with the caveat that the campus assessment should not be applied to SSDP expenditures for direct program infrastructure and that additional exclusions from the assessment may be appropriate for SSDPs depending upon what is ultimately funded through the assessment.

It is acknowledged that the use of campus space by SSDPs is a program cost that is not currently well defined or consistently valued on our campus. It is anticipated that the shift to a new budget model may result in a more standard method of determining the value of space and that this cost should be applied to SSDPs based on usage in the same manner as it is applied to other academic programs on campus.

The campus assessment is also proposed to include funding for central campus to invest in the start-up and development of SSDPs at UC Davis. It is assumed that the campus budget model will include sufficient funds for campuswide initiatives through the Provost's Office. As reflected in principle four above, there is some inherent risk in offering SSDPs, however, there is a strong interest by campus leadership to encourage academic units be entrepreneurial in how they leverage their instructional resources and SSDPs are a key way to do that. If central funds were available to support activities such as market studies, limited-term program development support, and program start-up costs more units may be interested in pursuing SSDPs and those that are launched may be more successful if the initial market research and program design is supported.

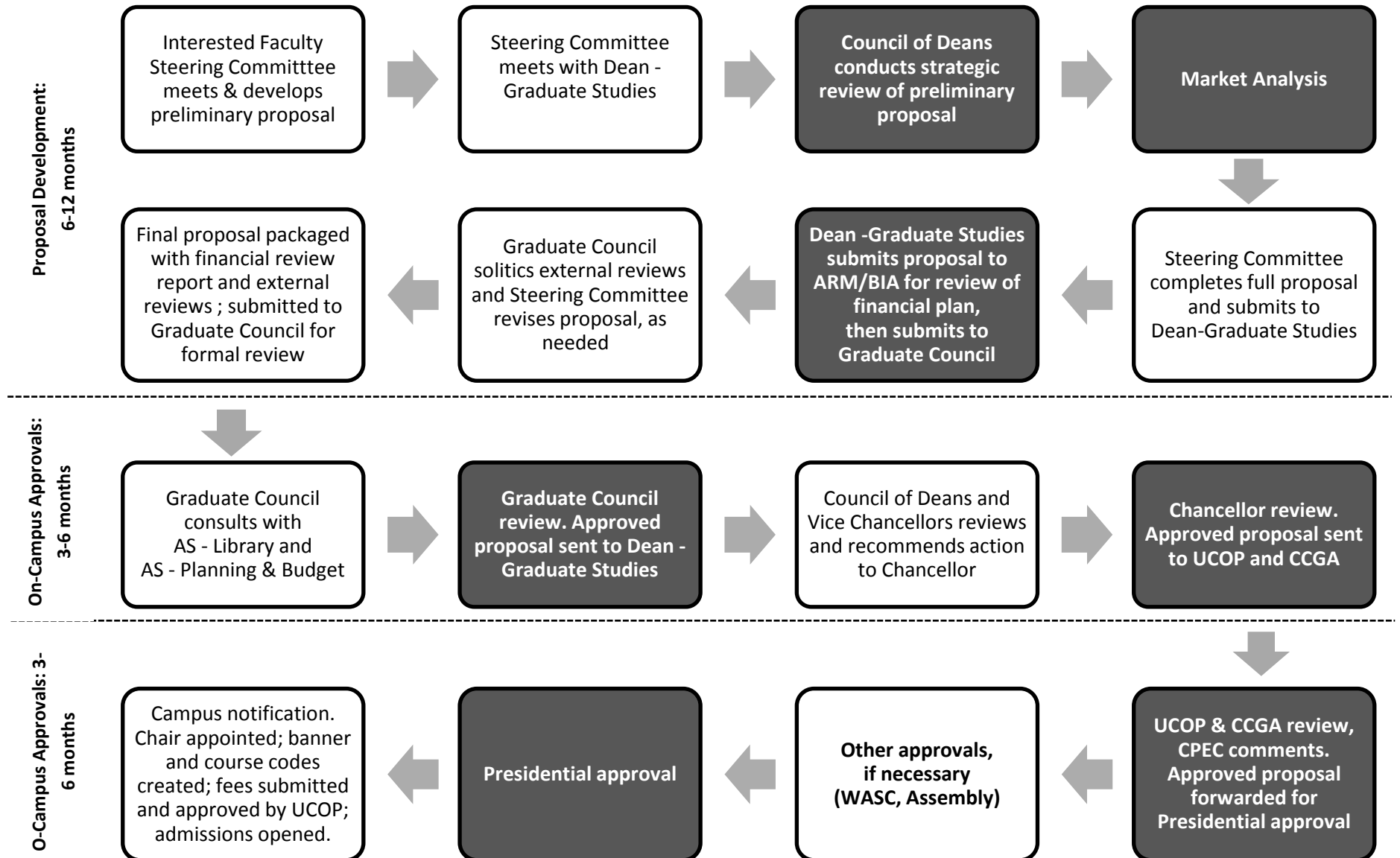
KEY ISSUES FOR CONSIDERATION WHEN DEVELOPING AND IMPLEMENTING THE SSDP FINANCIAL MODEL

For a specific program to successfully implement this financial model, there are a number of critical details that should be considered. These issues are likely to differ by program, therefore this paper cannot address all of the potential implementation details and challenges. However, our research has identified several common issues that may need to be addressed by most programs:

- *Enrollment Projections and Modeling*—It is critical that programs develop detailed enrollment projections to support program revenue estimates. These projections probably need to be multi-year and by course, especially if program fees are based on unit or course increments. They should also reflect market research on program demand.
- *Courses that include both state-supported and self-supported students*—It is important to appropriately determine how the cost of instructing both types of students sitting in the same course is divided. Generally these costs should be prorated based on the student enrollment; however this requires that the per-course costs are known. (See GS2013-01, IV.D.)

- *Documentation of Program Roles and Responsibilities*—It is important for both governance and financial reasons that the roles and responsibilities of all campus units involved in SSDPs be documented. (See GS2013-01, III.A.4.b., III.A.4.d)
- *Achieving Financial Stability*—Under UCOP policy and Academic Senate expectations, these programs are expected to be fully self-supporting within 2-3 years. This makes it even more critical that the appropriate initial analysis and systems be in place to ensure success. (See [UCOP Policy on SSDPs](#), I.B. and the accompanying Implementation Guidelines, section on Cost Analysis and Tuition & Fee Approval Request)

Approval Process and Timeline for Self-Supporting Degree Programs (SSDPs)



 formal approved is required for proposal to move forward in the process

Proposal development and approval can take 18-30 months (1.5-2.5 years) depending upon how long it takes for the faculty Steering Committee to develop the proposal, how well-thought-out the submitted proposal is, how responsive the faculty are to revision requests, how quickly external comments from reviewers are received and incorporated into the proposal, how often BIA needs to review the budget model in response to substantial changes made to the proposal, and how long it takes Graduate Council, the Chancellor, CCGA, and UCOP to make a final decision on the proposal. Ideal times to submit a proposal for the most expedient review are: February 1 – submission to Graduate Council; October 1 – submission to CCGA.

If systemwide approval is given by January 1, Graduate Studies can implement an admissions application for fall of the same year, if desired. Fee proposals must be submitted in January for approval by UCOP, in order to be implemented for the following fall; however, UCOP will not accept fee proposals if academic approval has not been granted. If a proposal includes the addition of a new degree title not currently offered by UCD, or if 50%+ of the program will be offered at an off-campus location more than 25 miles from UCD, additional off-campus approval is required, adding more time to final approval (note WASC/Assembly box below).

**Note: the addition of a Self-Supporting component to an existing program is considered a substantial revision to the program by CCGA, therefore requiring full review both on- and off-campus; however, the proposal preparation process may be shorter.*