May 14, 2014

CHANCELLORS
ACADEMIC COUNCIL CHAIR WILLIAM JACOB

Dear Colleagues:

Enclosed please find a revised version of the proposed Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy. As you may remember, we sent out a draft policy developed by the Academic Planning Council (APC) in November 2013 for a formal review and requested comments back by February 7, 2014. The Academic Planning Council has had two full meetings and a number of subcommittee meetings since comments were received.

The APC has now developed this revised policy draft in response to the comments received. The revised policy draft was endorsed at a combined meeting on May 1, 2014 of the 2012-13 and 2013-14 Academic Planning Councils (members of the 2012-13 APC were included because they had developed the original proposal). The APC is the joint Academic Senate/Administration committee tasked with working on policies of this nature.

This transmittal is a request to the Academic Council for formal but expedited review of the policy by the Academic Senate and to the Chancellors for a second round of review by the campus administrations. For campus review, this request is being sent directly to Chancellors, with copies to the Executive Vice Chancellors (EVCs), per the request of COC that major communications and requests for information from UCOP are addressed to the Chancellors. In addition, the proposed policy will be shared with campus constituent groups convened by UCOP such as the Graduate Deans, the Vice Chancellors for Planning and Budget, the Vice Chancellors for Student Affairs, and the Extension Deans.

The main issue addressed in response to the written comments of the campuses and the Academic Senate was the issue of the appropriate criteria for defining which graduate professional programs would be eligible for self-supporting status. A number of commentators expressed concern that the proposed policy was too restrictive as to which programs would be eligible whereas a number of other commentators were concerned that
the proposed policy did not have clearly defined criteria and thus was overly lax on the issue of program eligibility.

UC's existing policy and the proposed policy both exclude all Ph.D. programs and "academic's master's degree programs leading solely or primarily" to a Ph.D. degree. Beyond those exclusions, the new draft seeks to address the concerns raised by including language from the UC Davis self-supporting policy: "SSGPDPs are graduate programs that primarily serve professionals seeking to advance their career." In addition, to address the issue of not losing state support for UC's core functions, the new revision includes language that "a proposal to create a self-supporting program must make a compelling case as to why the program cannot or should not be a state-supported program."

There are a number of other changes in response to the comments and the enclosed redline draft describes those changes. In addition, we are enclosing the November 2013 draft and original transmittal. UC's current self-supporting policy and background materials can be found at this website: http://tiny.cc/3wqefx.

With these changes, I believe the enclosed draft represents a fair compromise between the competing points of view that were expressed in the comments received in February. I hope to present this policy to President Napolitano for her consideration sometime later this year. The Academic Council has agreed to consider the policy at their July 23, 2014 meeting, so we are requesting comments in advance of that meeting.

*Please submit your written responses on the proposed policy by July 14, 2014 via email to Aimee.Dorr@ucop.edu with a copy to Todd.Greenspan@ucop.edu.*

I look forward to receiving your responses.

Cordially,

Aimée Dorr, Provost
Executive Vice President for Academic Affairs

Enclosures

cc: Vice Chair Gilly
Executive Vice Chancellors
Vice President Brown
The Academic Planning Council (2012-13 and 2013-14)
Executive Director Winnacker
Director Greenspan
Self-Supporting Graduate Professional Degree Programs Policy

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<th>Academic Officer:</th>
<th>President of the University of California</th>
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<td>Responsible Office:</td>
<td>Office of the Provost and Executive Vice President</td>
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<td>Issuance Date:</td>
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<td>Scope:</td>
<td>This Policy applies to all UC campuses and academic units.</td>
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Contact:  
Email: 
Phone #:
I. POLICY SUMMARY

This Policy governs Self-Supporting Graduate Professional Degree Programs (SSGPDPs) at the University of California, including, but not limited to, establishment, discontinuance, setting student charges, and requirements for converting a state-supported graduate professional degree program to a SSGPDP.¹

II. DEFINITIONS

a. Self-supporting – Self-supporting means that all program costs, both direct and indirect, are covered by revenues generated by the program such as student charges or from alternative revenues that are not disallowed funds as defined in Section II(g) below.

b. Program costs – Program costs include both direct and indirect costs.

c. Direct costs – Direct costs for SSGPDPs include, but are not limited to, costs related to instruction, program support, student services, financial aid, faculty and staff salaries and benefits, supplies, and equipment.

¹ Nothing in this Policy constitutes a contract, an offer of a contract, or a promise that any student charges ultimately authorized by the University will be limited by any term or provision of this Policy. The University expressly reserves the right and option, in its absolute discretion, to establish student charges at any level it deems appropriate based on a full consideration of the circumstances, and nothing in this Policy shall be a basis for any party to rely on student charges of a specified level or based on a specified formula.
### POLICY

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<td><strong>d.</strong></td>
<td><strong>Indirect costs</strong> – Indirect costs are costs that cannot be charged to a particular project or activity but are incurred by the University or an organizational unit of the University as a result of undertaking the project or activity. Indirect costs for SSGPDPs include, but are not limited to, the charges levied by a school, college, campus, and/or systemwide entity for a program’s share of academic and administrative support, libraries, building use, and operation and maintenance of physical facilities.</td>
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<td><strong>e.</strong></td>
<td><strong>Charges (SSGPDPs)</strong> – Charges are funds paid by students to attend SSGPDPs. The charges may include approved Compulsory Campus-Based Student Fees and Course Materials and Services Fees. Although students in SSGPDPs may be required to pay Compulsory Campus-based Student Fees, these fees are disallowed funds as defined in g. below.</td>
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<tr>
<td><strong>f.</strong></td>
<td><strong>Tuition and fees (state-supported programs)</strong> – Tuition and fees are funds paid by students to attend state-supported programs and include, but are not limited to, Tuition, Student Services Fee, Professional Degree Supplemental Tuition (PDST), and Compulsory Campus-based Student Fees.</td>
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<td><strong>g.</strong></td>
<td><strong>Disallowed funds</strong> – Disallowed funds are funds the SSGPDP may not rely on for program costs. Disallowed funds include State General Funds and tuition and fees as defined in f. above. Although students in SSGPDPs may be required to pay Compulsory Campus-based Student Fees, revenue from these fees may not be used to support the SSGPDP.</td>
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<td><strong>h.</strong></td>
<td><strong>Compendium</strong> – The Compendium is the <em>Compendium of Universitywide Review Processes for Academic Programs, Academic Units, &amp; Research Units</em>. The</td>
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<td>Compendium draws on current University policies to articulate systemwide review processes for proposals to establish, transfer, consolidate, change the name of, and discontinue or disestablish undergraduate degree programs (in certain cases), graduate degree programs, schools, colleges, and research units.</td>
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III. POLICY TEXT

A. Introduction. Self-supporting graduate professional degree programs (SSGPDPs) allow the University of California (UC or University) to (1) serve additional students above and beyond those supported by resources provided by the State while fulfilling and (2) fulfill demonstrated higher education and workforce needs. Models of self-supporting graduate professional degree programs include, but are not limited to, those that serve non-traditional populations, such as full-time employees, mid-career professionals, international students with specialized goals, and/or students whose professional education is supported by their employers. Many SSGPDPs are (1) offered through an alternative mode of delivery, such as online or hybrid instruction; (2) alternatively-scheduled (e.g., during evenings, weekends, and/or summers); and/or (3) offered in alternative locations (e.g., off-campus).

This Policy facilitates governs the establishment and operation of SSGPDPs at the University and its campuses while ensuring that these programs do not use disallowed funds.

In times when the University received adequate State support to honor its commitment to the California Master Plan and to expand graduate academic and professional programs in response to State and societal needs, UC directed self-supporting programs primarily towards working adults and other non-traditional student populations. These programs provide alternative venues and opportunities for access to quality programs.

Additions to better distinguish SSGPDPs from regular academic programs (APC 4/25 meeting)

Concept in last clause moved to end of this subsection (APC 4/25 meeting)
leading to graduate professional degrees. With the decline in State support, this Policy now recognizes that offering self-supporting graduate professional degree programs is also a necessary educational strategy to allow the University to serve a greater number of students above and beyond those whom State resources will support. Although these programs receive no state-support, they have the potential to generate resources that would enhance the quality, accessibility, and affordability of core academic programs and departments.

However, the Policy requires that a compelling case be made for why a SSGPDP cannot or should not be state-supported and assurances that the SSGPDP will not have a detrimental impact on a school’s or a department’s ability to carry out its state-supported teaching, research, and service responsibilities.

This Policy governs Self-Supporting Graduate Professional Degree Programs (SSGPDPs) at the University of California, including, but not limited to, establishment, discontinuance, setting student charges, and requirements for converting a state-supported graduate professional degree program to a SSGPDP. **SSGPDPs shall not use disallowed funds.** However, nothing in this Policy is intended to prescribe campus policy or pre-empt a campus’s discretion with respect to how it distributes resources with the exception that disallowed fund sources may not be used to fund SSGPDPs. **Campus may have their own policies with regard to SSGPDPs provided those policies do not conflict with this policy.**

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<td>leading to graduate professional degrees. With the decline in State support, this Policy now recognizes that offering self-supporting graduate professional degree programs is also a necessary educational strategy to allow the University to serve a greater number of students above and beyond those whom State resources will support. Although these programs receive no state-support, they have the potential to generate resources that would enhance the quality, accessibility, and affordability of core academic programs and departments.</td>
<td>Restored from prior versions—agreed to in APC 2/18 meeting—moved to new location in APC 4/25 meeting</td>
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<td>However, the Policy requires that a compelling case be made for why a SSGPDP cannot or should not be state-supported and assurances that the SSGPDP will not have a detrimental impact on a school’s or a department’s ability to carry out its state-supported teaching, research, and service responsibilities.</td>
<td>Added in APC 4/25 meeting to state principle now detailed in Section H(1) below. The “compelling case” language is an alternative to adding more restrictive criteria about what kinds of programs are eligible for SSGPDP status.</td>
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<tr>
<td>This Policy governs Self-Supporting Graduate Professional Degree Programs (SSGPDPs) at the University of California, including, but not limited to, establishment, discontinuance, setting student charges, and requirements for converting a state-supported graduate professional degree program to a SSGPDP. <strong>SSGPDPs shall not use disallowed funds.</strong> However, nothing in this Policy is intended to prescribe campus policy or pre-empt a campus’s discretion with respect to how it distributes resources with the exception that disallowed fund sources may not be used to fund SSGPDPs. <strong>Campus may have their own policies with regard to SSGPDPs provided those policies do not conflict with this policy.</strong></td>
<td>Moved from 2nd paragraph of this section (APC 4/25 meeting)</td>
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<td>Added to allow campuses to retain their own policies on self-supporting programs (APC 4/25 meeting)</td>
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**B. Description of self-supporting graduate professional degree programs.** SSGPDPs are graduate programs that primarily serve professionals seeking to advance their careers, education, and skills that correspond to anticipated professional careers. They provide expanded educational opportunities and can be directed towards those students with anticipated capacity to pay higher fees (for example, because the fees are paid by the employer). All direct and indirect costs shall be covered by charges paid by SSGPDP students or by other funds that the sponsoring academic unit allocates to the SSGPDP. SSGPDPs may not use disallowed funds.

SSGPDPs are an alternate mechanism to enable the establishment of new graduate professional degree programs and, in some cases, the maintenance of existing graduate professional degree programs. This policy governs both circumstances. With the exception of the source of funds and the costs the funds must cover, all SSGPDPs must adhere to the same policies as state-supported programs. SSGPDPs are subject to Academic Senate oversight and review to ensure that all degree programs meet UC standards of academic rigor and quality. All faculty (both Senate and non-Senate) in SSGPDPs are governed by UC academic personnel policies and practices.

All direct and indirect costs shall be covered by charges paid by SSGPDP students or by other funds that the sponsoring academic unit allocates to the SSGPDP. SSGPDPs may not use disallowed funds.
**C. Programs ineligible for self-supporting status.** Programs ineligible for self-supporting status include the following: all undergraduate degree programs, all academic master’s degree programs leading solely or primarily to a Doctor of Philosophy (Ph.D.) degree, and all Ph.D. programs.

**D. Location of offerings.** SSGPDP courses and other program requirements may be offered on-campus, at appropriate off-campus locations, or online, using distance technologies as appropriate (consistent with Academic Senate Reg. 694).

**E. Comparable quality to regular state-supported graduate programs.** SSGPDPs are held to the same standards of quality as all other UC graduate professional degree programs. Student admission and performance standards for SSGPDPs are governed by the Academic Senate.

**F. Comparable faculty.** As is the case for all other UC degree programs, Senate faculty are responsible for SSGPDPs. Senate faculty who teach in SSGPDPs are appointed, evaluated, and advanced under the same processes and criteria as are other Senate faculty regardless of whether a portion of their regular compensation comes from SSGPDPs. The nature of certain practice-oriented degree programs may warrant a higher proportion than usual of non-Senate faculty (e.g., clinical faculty, adjunct faculty, lecturers, and visitors).

**G. Faculty workload and compensation.** SSGPDPs shall comply with the Academic Personnel Manual (APM) with respect to how faculty, both Senate and non-Senate, are compensated. Faculty are expected to comply with all relevant reporting requirements. Teaching in a self-supporting program does not constitute workload for purposes of State reporting. Faculty teaching in SSGPDPs shall be handled either through compensation to a faculty member’s department for a reduction in the faculty member’s workload (a “buy-
out\textsuperscript{“\textit{”)}} or through additional compensation to the faculty member for additional workload above normal workload. Depending on whether the teaching replaces part of the faculty member’s expected full-time load (a “buy-out”) or is in addition to the full-time load (additional compensation). A “buy-out” must include the complete cost of faculty salary, health benefits, and retirement compensation. Campus policies on “buy-out” or additional compensation may be applied so long as they do not conflict with this policy or the APM\textsuperscript{2}. SSGPDPs shall not in any way diminish a school or department’s responsibilities to the full complement of state-supported programs.

For non-Senate academic appointees covered by a Memorandum of Understanding (MOU), this policy applies only to the extent provided for in the MOU.

H. Initiation and approval of SSGPDPs.

1. Initiation. Departments, groups of departments, or schools may propose a new SSGPDP or conversion of an existing state-supported program to an SSGPDP. Proposals shall originate with an academic unit that is authorized to conduct graduate work. A proposal to create a self-supporting program must make a compelling case as to why the program cannot or should not be a state-supported program. It must articulate how it will ensure that the self-supporting program will not have a detrimental impact on state-supported teaching, research or service, both academically and financially, in the unit proposing the program.

\textsuperscript{2} Section 662 of the APM addresses additional compensation for additional teaching.
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<td>2. New Program.</td>
<td>The establishment of a new SSGPDP must be approved according to procedures and requirements specified in the Compendium.</td>
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<td>3. Conversion.</td>
<td>Conversion of a state-supported graduate professional degree program to self-supporting status is possible, but the expectation is that conversion will be infrequent and uncommon. Conversion of an existing state-supported program to self-supporting status is regarded as exceptional. Special justification must be given for a conversion application to be approved. For example, clear and overwhelming evidence must be provided to demonstrate that the existing state-funded model is no longer feasible, sustainable, or has unduly restricted development of the program.</td>
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Graduate professional degree programs converting to self-supporting status must meet the same criteria as new SSGPDPs and are subject to the same review criteria as new SSGPDPs. This includes criteria related to financial sustainability, financial accessibility, faculty appointments, and course approvals.

Initial review of a conversion proposal shall be conducted by the Graduate Council of the proposing campus. The campus Graduate Council determines whether the converting program is in good academic standing and provides CCGA with a statement of support or non-support for the proposal.

### COMMENTS ON REVISIONS

Alternative language for “uncommon and infrequent” taken from CCGA comment letter. (APC 2/18 meeting)
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<td>i. <strong>Conversion when changing academic requirements.</strong> A proposal to convert a state-supported program that includes changes to the program’s academic requirements shall be reviewed through the same processes as a newly-created graduate professional degree program.</td>
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<td>ii. <strong>Conversion when not changing academic requirements.</strong> A proposal to convert a state-supported program that includes no changes to the program’s academic requirements shall be reviewed through Academic Senate processes at the campus and at the system level to evaluate context and justification for the conversion and to assure that the program proposed for conversion is in good academic standing. In order for a conversion proposal to be reviewed at the system level, the program must have undergone and received a meritorious academic review within the previous five years. At the discretion of systemwide review bodies, system level review may be expedited.</td>
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<td>iii. <strong>Review of conversion SSGPDP.</strong> The first academic review of a program that converted from state-supported to self-supporting status shall be in the fourth year of establishment (after three years of operation). Thereafter the program joins the campus’ regular academic review cycle.</td>
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### I. Phase-in period. All SSGPDPs shall be fully self-supporting within three years of inception. The sponsors of each proposed self-supporting program shall submit to UCOP a cost analysis and fiscal phase-in plan for review and approval.

### J. Failure to become or remain self-supporting. If a new or converting self-supporting program does not reach financial sustainability within the required three years, the campus shall be responsible for all costs of continuing or phasing out the program and shall not use
disallowed funds for those purposes. Similarly, if an existing SSGPDP is no longer financially self-supporting, the campus shall be responsible for all costs of continuing or phasing out the program and shall not use disallowed funds for those purposes.

**K. Reversion to state-supported status.** Any SSGPDP (existing, new, or converted) seeking to become a state-supported graduate professional degree program shall be subject to the same campus approvals required to establish new state-supported graduate academic or professional degree programs and enrollments.

**L. Discontinuation.** Consistent with the requirements for the discontinuation of any UC academic program, a discontinued SSGPDP must ensure that students have the opportunity to complete their degrees or transfer to other programs.

**M. Review of SSGPDPs.** Campus Graduate Councils shall review SSGPDPs as part of regularly-scheduled campus program reviews on the same basis as state-supported academic programs are reviewed. Once established, the SSGPDP shall be under the purview of the campus Graduate Council and the Graduate Division to ensure adequate progress of students according to campus criteria. Campuses may apply additional review measures so long as they do not conflict with this policy. SSGPDP courses are subject to normal campus procedures for approval, revision, and termination.

**N. Admission and enrollment.** Admission standards for SSGPDPs shall be comparable to those in effect for analogous state-supported programs, if such programs are available. Admissions criteria may specify some type or period of work experience in the field, as applicable to the specific graduate professional degree offered. Students must be admitted through the Graduate Division through the regular admissions process. Enrollments in SSGPDPs do not count for purposes of calculating the number of students
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<td>supported by the State. SSGPDP enrollments will be reported separately from enrollment of students in state-supported programs. During the approved phase-in period, the distribution of enrollments between state-supported and self-supporting programs will conform to the specifications of the approved plan.</td>
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**O. Approval by President of student charges and phase-in plans.** In addition to the program approval requirements above, proposed student charges and the phase-in plan for each SSGPDP shall be submitted to the President for approval.

**P. Student charges.** The President will review and approve proposed student charges for each SSGPDP upon establishment or conversion, as well as subsequent proposed annual increases or decreases in such charges. The President will report annually to The Regents on the level of student charges for each approved program.

Student charges for SSGPDPs will cover all program costs within the required three-year period unless the campus chooses to use other non-disallowed funds to assist in meeting program costs. The Chancellor must approve the use of non-disallowed funds to subsidize SSGPDPs. Chancellor approval authority may not be delegated.

The level of student charges shall be based on a full and accurate assessment of all program costs as defined in the Policy and further detailed in the Implementation Guidelines.

*University employees enrolled in SSGPDPs are not eligible for reduced course charges. This does not preclude a department from subsidizing a portion of the program charges from non-disallowed funds.* Program deficits, including deficits during the approved phase-in period, were supported by the State. SSGPDP enrollments will be reported separately from enrollment of students in state-supported programs. During the approved phase-in period, the distribution of enrollments between state-supported and self-supporting programs will conform to the specifications of the approved plan.

This fee reduction language from the prior policy was designed to distinguish SSPs from Extension enrollments since many of the early self-supporting SSGPDPs did not have sufficient enrollment numbers to support independent operation.
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<td>period, are the responsibility of the campus; disallowed funds cannot be used to cover any deficit. State-supported degree programs and SSGPDPs must separately account for their use of resources. Campuses shall not charge a blended tuition/fee level for any course or program.</td>
<td>programs were run out of Extension. APC decided at the 2/18 meeting that the policy should be silent on the issue of any fee reductions or remissions—thus, the first two sentences deleted. The issue of remission for TAs is now covered by new language in faculty section.</td>
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Q. Financial accessibility. SSGPDPs must have a financial accessibility goal for their student population and a student financial support plan for achieving this goal. It is expected that the plan will address access for students from a wide range of income levels. Examples of possible student financial support include scholarships or grants from the program’s own resources (i.e., return-to-aid from student charges), privately raised funds, waivers of student charges, participation in federal and/or private loan programs, or other external support. For the purposes of state and federal student financial aid programs, “student charges” has the same meaning as “tuition.” |

R. Consultation. Input on program characteristics and the level of student charges must be regularly sought from program stakeholders and must cover a multi-year period. Stakeholders must include students in and faculty from the program. |

It is currently not possible to waive mandatory systemwide tuition and fees for students enrolled in degree-granting programs. (4/25 APC meeting)
### IV. IMPLEMENTATION OF SELF-SUPPORTING GRADUATE PROFESSIONAL DEGREE PROGRAMS (SSGPDP) POLICY

The President issues the following Policy implementation procedures for the SSGPDP Policy:

**A. Program approvals.** Prior to operation, all SSGPDPs must obtain necessary program approvals pursuant to this Policy and the processes detailed in the Compendium. A proposal for a new or conversion SSGPDP must be accompanied by a joint letter of support from the Graduate Council, the Executive Board, the Executive Vice Chancellor, and the Chancellor. Similarly, SSGPDPs that are being discontinued or converted to state-supported status must adhere to the requirements of this Policy and the Compendium. New SSGPDPs and state-supported programs seeking to convert to SSGPDP status may apply for review of proposed student charges [see V.B.] prior to completion of program approval processes. However, no student charges will be approved in advance of final program approval.

**B. Process for certification of self-supporting status and Presidential approval of self-supporting program charges.** SSGPDP student charges must be approved by the President every three years. In order to receive Presidential approval for student charges, each SSGPDP and each campus with one or more SSGPDPs shall follow the following procedures:

1. **Triennial program templates.**
   For each SSGPDP, a UCOP template shall be completed that covers the following elements:
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<td><strong>a. Program approval status.</strong> The completed template shall indicate the program approval status for the SSGPDP, the date and results of its most recent academic program review, and/or the dates the next academic program review will begin and be completed.</td>
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<td><strong>b. Current and proposed student charges.</strong> The completed template shall include, at a minimum, the current level of student charges and the projected student charges for the <a href="#">next three-year period</a>. Approved Compulsory Campus-based Student Fees may be charged to SSGPDP students when it can be shown that SSGPDP students benefit from the services funded by those fees.</td>
<td><strong>Added in 2/18 APC meeting.</strong></td>
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<td><strong>c. Financial accessibility.</strong> The completed template shall include a description of the SSGPDP’s student financial support plan and the extent to which it is attaining its financial accessibility goal. For programs that have converted or are proposing to convert from state-supported status, the description shall compare the program’s student financial accessibility with that of other UC programs offering similar degrees, whether self-supporting or not.</td>
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<td><strong>d. Cost analysis.</strong> The completed template shall include a cost analysis that demonstrates that the proposed student charges cover full direct and indirect costs, or (to the extent that student charges are insufficient to cover these costs) that no disallowed funds will be used to subsidize the program. The required elements and format of the cost analysis shall be specified in the UCOP template.</td>
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New SSGPDPs are subject to the same cost analysis. Programs are expected to become fully self-supporting within three years, though campuses may continue
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<td>to subsidize programs with non-disallowed funds at their discretion. Program deficits, including any deficits during the phase-in period, must be covered by the campuses; disallowed funds may not be used to cover any deficit. The template shall require campuses to identify in advance fund sources that will be used to cover any projected deficits and to identify fund sources being used to cover any current deficits.</td>
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<td>e. <strong>Consultation.</strong> The completed template shall include a section identifying the stakeholders who were consulted and when and how the consultation took place, and providing a short summary of the feedback received from each category of stakeholders. Input on program characteristics and the level of student charges must be regularly sought from program stakeholders and must cover a multi-year period. Stakeholders must include students in and faculty from the program. Prior to establishing a new program, student input shall be sought from students likely to apply to such a program.</td>
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2. **Campus submittals.**
   Each campus with one or more SSGPDPs must provide a submittal consisting of (1) a cover letter from the Chancellor to the Vice President—Budget and Capital Resources requesting approval of student charges for the upcoming period and (2) the program templates for each existing or proposed SSGPDP on that campus. Specifically, the cover letter shall include:

   a. A statement that appropriate campus leadership has reviewed and approved the attached templates for each SSGPDP on that campus. The statement must certify that each program is operating on a self-supporting basis (or is using non-
### POLICY

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<td>disallowed funds to cover any deficit) and is in compliance with this Policy.</td>
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#### b. A request to approve the proposed level of student charges for each existing or proposed SSGPDP for the upcoming period. |

#### c. A table showing, for each SSGPDP, the current level of student charges, the proposed level of student charges, and the percentage increase or decrease, if any. UCOP will provide a template for this table to ensure that student charges can be compared across programs. |

### Timeline for submittals.

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<tbody>
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<td>a. November preceding the next academic year – Campuses receive templates from UCOP together with instructions on the process for the required annual submittals.</td>
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   SSGPDPs should be identified in the Corporate Student System with a major code that is distinct from state-supported programs and with an attribute code flagging enrollments in each SSGDP as self-supporting.

2. Faculty workload.
   All faculty participation in the SSGPDP must be funded directly from SSGPDP revenue or other allowable sources in proportion to the faculty member’s workload commitment to the program. If the faculty member’s participation is in lieu of some of his or her responsibilities as a full-time UC employee, then the SSGPDP must reimburse the faculty member’s department an amount equivalent to the cost of that particular faculty member’s time (a “buy-out”). Consistent with the requirement that the SSGPDP must cover all program costs, for a “buy-out” the total cost of faculty salary, benefits, and retirement must be funded by SSGPDP-generated or other non-disallowed funds. If the faculty member’s participation is in addition to his or her responsibilities as a full-time UC employee, then he or she should receive additional compensation which must be calculated and recorded in accordance with relevant Academic Personnel Manual policies and reporting requirements.³

³ Section 662 of the APM addresses additional compensation for additional teaching.

Footnote references APM 662. (4/25 APC meeting)
Covers academic employees with labor contracts. (4/25 APC meeting)
CHANCELLORS
ACADEMIC COUNCIL CHAIR JACOB

Dear Colleagues:

Enclosed please find the proposed revised Self-Supporting Graduate Professional Degree Programs (SSGPDP) Policy that includes implementation information. This draft policy is a revision to the 2011 Policy on Self-Supporting Graduate Degree Programs and its associated implementation guidelines. The proposed policy was developed and endorsed by the 2012-13 Academic Planning Council (APC), the joint Academic Senate/Administration Committee tasked with working on policies of this nature. A roster of the 2012-13 APC members is enclosed.

This transmittal is a request to the Academic Council for formal review of the policy and its implementation by the Academic Senate and to the Chancellors for review by the campus administrations. For campus review, this request is being sent directly to Chancellors, with copies to the Executive Vice Chancellors (EVCs), per the request of the Chancellors that major communications and requests for information from UCOP are addressed to them. In addition, the proposed policy and implementation is being shared with other campus constituent groups convened by UCOP -- the Graduate Deans, the Vice Chancellors for Planning and Budget, and the Extension Deans.

The University now has approximately 60 self-supporting graduate professional degree programs, enrolling over 4,500 students and generating over $130 million annually in revenue from student charges. By policy, this revenue supports all costs of the programs and also the costs incurred by the departments/schools and campuses on behalf of the programs.

The enclosed new proposed policy builds on the 2011 revision to the policy and explicitly recognizes that self-supporting graduate professional degree programs are a necessary educational strategy to allow the University to serve a greater number of students above and beyond that which state resources will support. The proposed policy provides that only graduate professional degrees can be self-supporting – self-supporting Ph.D. programs, graduate master’s degree programs primarily leading to a Ph.D., and all undergraduate degree programs would not be eligible for self-supporting status.

Among other things, the new policy addresses the very limited circumstances under which a state-supported graduate professional degree program can convert to self-supporting status. The policy also revises the existing implementation guidelines (now included as Section V. of the enclosed draft policy) to help departments and campuses facilitate the establishment of self-
supporting programs and to clarify the process for receiving Presidential approval for setting and increasing student charges for each of the approved programs.

The members of the 2012-13 Academic Planning Council and I believe this policy strikes the appropriate balance between encouraging the development of self-supporting graduate professional degree programs to serve additional students and diversify University revenues and ensuring that these programs do not detract from the core state-supported mission of the University.

*Please submit your written responses on the proposed policy by February 7, 2014 via email to Aimee.Dorr@ucop.edu with a copy to Todd.Greenspan@ucop.edu.* All feedback received by February 7th will be considered by the Academic Planning Council as it works to complete the policy proposal that will be sent to President Napolitano for her approval. We hope to present it to her before the end of March 2014.

I look forward to receiving your responses.

Cordially,

Aimee Dorr
Provost and Executive Vice President

Enclosures

cc: Academic Council Vice Chair Gilly
    Executive Vice Chancellors
    Vice President Lenz
    Vice Chancellors for Planning and Budget
    Council of Graduate Deans
    Deans of University Extension
    2012-13 Academic Planning Council Members
    Executive Director Winnacker
    Director Jennings
    Director Greenspan
I. POLICY SUMMARY

This Policy governs Self-Supporting Graduate Professional Degree Programs (SSGPDPs) at the University of California, including, but not limited to, establishment, discontinuance, setting student charges, and requirements for converting a state-supported graduate professional degree program to a SSGPDP.¹

¹ Nothing in this Policy constitutes a contract, an offer of a contract, or a promise that any student charges ultimately authorized by the University will be limited by any term or provision of this Policy. The University expressly reserves the right and option, in its absolute discretion, to establish student charges at any level it deems appropriate based on a full consideration of the circumstances, and nothing in this Policy shall be a basis for any party to rely on student charges of a specified level or based on a specified formula.
II. DEFINITIONS

a. **Self-supporting** – Self-supporting means that all program costs, both direct and indirect, are covered by revenues generated by the program such as student charges or from alternative revenues that are not disallowed funds as defined in Section II(g) below.

b. **Program costs** – Program costs include both direct and indirect costs.

c. **Direct costs** – Direct costs for SSGPDPs include, but are not limited to, costs related to instruction, program support, student services, financial aid, faculty and staff salaries and benefits, supplies, and equipment.

d. **Indirect costs** – Indirect costs are costs that cannot be charged to a particular project or activity but are incurred by the University or an organizational unit of the University as a result of undertaking the project or activity. Indirect costs for SSGPDPs include but are not limited to the charges levied by school, college, campus, and systemwide entities for a program’s share of academic and administrative support, libraries, building use, and operation and maintenance of physical facilities.

e. **Charges (SSGPDPs)** – Charges are funds paid by students to attend SSGPDPs which may include approved Compulsory Campus-Based Student Fees and Course Materials and Services Fees. Although students in SSGPDPs may be required to pay Compulsory Campus-based Student Fees, they are disallowed funds as defined in g. below.

f. **Tuition and fees (state-supported programs)** – Tuition and fees are funds paid by students to attend state-supported programs and include but are not limited to Tuition, Student Services Fee, Professional Degree Supplemental Tuition (PDST), and Compulsory Campus-based Student Fees.

g. **Disallowed funds** – Disallowed funds are funds the SSGPDP may not rely on for program costs. Disallowed funds include State General Funds and tuition and fees as defined in f. above. Although students in SSGPDPs may be required to pay Compulsory Campus-based Student Fees, revenue from these fees may not be used to support the SSGPDP.

h. **Compendium** – The Compendium is the [Compendium of Universitywide Review Processes for Academic Programs, Academic Units, & Research Units](http://www.ucop.edu/academic-planning-programs-coordination/_files/documents/compendium_jan2011.pdf). The Compendium draws on current University policies to articulate systemwide review processes for proposals to establish, transfer, consolidate, change the name of, and discontinue or disestablish undergraduate degree programs (in certain cases), graduate degree programs, schools, colleges, and research units.
III. POLICY TEXT

A. Introduction. Self-supporting graduate professional degree programs (SSGPDPs) allow the University of California (UC or University) to serve additional students above and beyond the resources provided by the State while fulfilling demonstrated higher education and workforce needs. Models of self-supporting graduate professional degree programs include, but are not limited to, those that serve non-traditional populations, such as full-time employees, mid-career professionals, international students, and/or students whose education is supported by their employers. Many SSGPDPs are (1) offered through an alternative mode of delivery, such as online or hybrid instruction; (2) alternatively-scheduled (e.g., during evenings, weekends, and/or summers); and/or (3) offered in alternative locations (e.g., off-campus).

This Policy facilitates the establishment and operation of SSGPDPs at the University and its campuses while ensuring that these programs do not use disallowed funds.

When the University received adequate State support to honor its commitment to the California Master Plan and to expand graduate academic and professional programs in response to State and societal needs, UC directed self-supporting programs towards working adults and other non-traditional student populations. These programs currently provide alternative venues and opportunities for access to quality programs leading to graduate professional degrees (e.g., Master’s of Advanced Studies). Given the decline in State support, this Policy now recognizes that self-supporting graduate professional degree programs are also a necessary educational strategy to allow the University to serve a greater number of students above and beyond that which State resources will support.

This Policy governs Self-Supporting Graduate Professional Degree Programs (SSGPDPs) at the University of California, including, but not limited to, establishment, discontinuance, setting student charges, and requirements for converting a state-supported graduate professional degree program to a SSGPDP. However, nothing in this Policy is intended to prescribe campus policy or pre-empt a campus’s discretion with respect to how it distributes resources with the exception that disallowed fund sources may not be used to fund SSGPDPs.

B. Description of self-supporting graduate professional degree programs. SSGPDPs are graduate programs that provide education and skills that correspond to anticipated professional careers. They provide expanded educational opportunities and can be directed towards those students with anticipated capacity to pay higher fees (for example, because the fees are paid by the employer). All direct and indirect costs shall be covered by charges
paid by SSGPDP students or by other funds that the sponsoring academic unit allocates to the SSGPDP. SSGPDPs may not use disallowed funds.

SSGPDPs are an alternate mechanism to enable the establishment of new graduate professional degree programs and, in some circumstances, the maintenance of existing graduate professional degree programs. This Policy governs both circumstances. With the exception of the source of funds and the costs the funds must cover, all SSGPDPs must adhere to the same policies as state-supported programs. Both state-supported programs and SSGPDPs require Academic Senate oversight and review to ensure that all degree programs meet UC standards of academic rigor and quality. Also, all faculty (both ladder and non-ladder) in both state-supported programs and SSGPDPs operate under UC academic personnel policies and practices.

C. Programs ineligible for self-supporting status. Programs ineligible for self-supporting status include: all undergraduate degree programs, all academic master’s degree programs primarily leading to a Doctor of Philosophy (Ph.D.) degree, and all Ph.D. programs.

D. Location of offerings. SSGPDP courses and other program requirements may be offered on-campus, at appropriate off-campus locations, or online, using distance technologies as appropriate (consistent with Academic Senate Reg. 694).

E. Comparable quality to regular state-supported graduate programs. SSGPDPs are held to the same standards of quality as any other UC graduate professional degree programs. Student admission and performance standards for SSGPDPs are governed by the Academic Senate.

F. Comparable faculty. As for all UC degree programs, ladder faculty are responsible for SSGPDPs. Ladder faculty who teach in SSGPDPs are appointed, evaluated, and advanced under the same processes and criteria as other ladder faculty regardless of whether a portion of their regular compensation comes from SSGPDPs. The nature of certain practice-oriented degree programs may warrant a higher proportion than usual of non-ladder rank faculty (e.g., clinical faculty, adjunct faculty, lecturers, and visitors).

G. Faculty workload and compensation. SSGPDPs shall comply with the Academic Personnel Manual (APM) with respect to how faculty, both ladder rank and non-ladder rank, are compensated. Faculty are expected to comply with all relevant reporting requirements. Teaching in a self-supporting program does not constitute workload for purposes of State reporting. Faculty teaching in SSGPDPs shall be handled either through a buy-out or through
additional compensation depending on whether the teaching replaces part of the faculty member's expected full-time load (a buy-out) or is in addition to the full-time load (additional compensation). SSGPDPs shall not in any way diminish a school's or department's responsibilities to the full complement of state-supported programs.

H. Initiation and approval of SSGPDPs.

1. Initiation. Departments, groups of departments, or schools may propose a new SSGPDP or a conversion of an existing state-supported program to a SSGPDP. Proposals shall originate with an academic unit that is already authorized to conduct graduate work.

2. New Program. The establishment of a new SSGPDP must be approved according to procedures and requirements specified in the Compendium.

3. Conversion. Conversion of a state-supported graduate professional degree program to self-supporting status is possible, but the expectation is that conversion will be infrequent and uncommon. Graduate professional degree programs converting to self-supporting status must meet the same criteria and are subject to the same review criteria as are new SSGPDPs. This includes criteria related to financial sustainability, financial accessibility, faculty appointments, and course approvals.

   i. Conversion when changing academic requirements. Programs that are changing academic requirements shall be reviewed through the same processes as required of a newly-created graduate professional degree programs.

   ii. Conversion when not changing academic requirements. A proposal to convert a state-supported program that includes no change to the program’s academic requirements shall be reviewed through Academic Senate processes at the campus and at the systemwide level to evaluate context and justification for the conversion and to assure meritorious status of the program proposed for conversion. In order for a conversion proposal to be reviewed at the systemwide level, the program must have undergone and received a meritorious academic review within the previous five years. At the discretion of systemwide review bodies, systemwide review may be expedited.

I. Phase-in period. All SSGPDPs shall be fully self-supporting within three years of inception. The sponsors of each proposed self-supporting program shall submit to UCOP a cost analysis and fiscal phase-in plan for review and approval.
J. Failure to become or remain self-supporting. If a new or converting self-supporting program is not successful (i.e., does not reach financial sustainability within the required three years), the campus shall be responsible for all costs of continuing or phasing out the program and shall not use disallowed funds for those purposes. Similarly, if an existing SSGPDP is no longer financially self-supporting, the campus shall be responsible for all costs of continuing or phasing out the program and shall not use disallowed funds for those purposes.

Any SSGPDP (existing, new, or converted) seeking to become a state-supported graduate professional degree program shall be subject to the same campus approvals required to establish new state-supported graduate academic or professional degree programs and enrollments. Consistent with the requirements for the discontinuation of any UC academic program, a discontinued SSGPDP must ensure that students have the opportunity to complete their degrees or transfer to other programs.

K. Review of SSGPDPs. Graduate Councils or other campus review bodies appointed by the Academic Senate shall review SSGPDPs as part of regularly-scheduled campus program reviews on the same basis as state-supported academic programs are reviewed. Once established, the SSGPDP shall be under the purview of the campus Graduate Council and Graduate Division to ensure adequate progress of students according to campus criteria. Courses for SSGPDP are subject to normal campus procedures for approval, revision, and termination.

L. Admission and enrollment. Admission standards for SSGPDPs shall be comparable to those in effect for analogous state-supported programs, if such programs are available. Admissions criteria may specify some type or period of work experience in the field, as applicable to the specific graduate professional degree offered. Students must be admitted through the Graduate Division through the regular admissions process.

Enrollments in SSGPDPs do not count for purposes of calculating the number of students supported by the State. SSGPDP enrollments will be reported separately from enrollment of students in state-supported programs. During the approved phase-in period, the distribution of enrollments between state-supported and self-supporting will conform to the specifications of the approved plan.

M. Approval by President of student charges and phase-in plans. In addition to the program approval requirements above, proposed student charges and the phase-in plan for each SSGPDP shall be submitted to the President for approval.
N. Student charges. The President will review and approve proposed student charges for each SSGPDP upon establishment or conversion, as well as subsequent proposed annual increases or decreases in such charges. The President will report annually to The Regents on the level of student charges for each approved program.

Student charges for SSGPDPs will cover all program costs within the required three-year period unless the campus chooses to use other non-disallowed funds to assist in meeting program costs.

The level of student charges shall be based on a full and accurate assessment of all program costs as defined in the Policy and further detailed in the Implementation Guidelines.

University employees enrolled in SSGPDPs are not eligible for reduced course charges. This does not preclude a department from subsidizing a portion of the program charges from non-disallowed funds. Program deficits, including deficits during the approved phase-in period, are the responsibility of the campus; disallowed funds cannot be used to cover any deficit.

State-supported degree programs and SSGPDPs must separately account for their use of resources. Campuses shall not charge a blended tuition/fee level for any course or program.

O. Financial accessibility. SSGPDPs must have a financial accessibility goal for their student population and a student financial support plan for achieving this goal. It is expected that the plan will address access for students from a wide range of income levels. Examples of possible student financial support include scholarships or grants from the program’s own resources (i.e., return-to-aid from student charges), privately raised funds, waivers of student charges, participation in federal and/or private loan programs, or other external support. For the purposes of state and federal student financial aid programs, “student charges” has the same meaning as “tuition.”

P. Consultation. Input on program characteristics and the level of student charges must be regularly sought from program stakeholders and must cover a multi-year period. Stakeholders must include students in and faculty from the program.

IV. COMPLIANCE / RESPONSIBILITIES

All UC campuses and academic units are required to comply with this Presidential Policy. The President has full authority over implementation and may delegate that authority to other
officials in the Office of the President. The Academic Planning Council (or its successor committee) is designated as the joint Administration/Academic Senate body authorized to recommend Policy revisions to the President.

V. IMPLEMENTATION OF SELF-SUPPORTING GRADUATE PROFESSIONAL DEGREE PROGRAMS (SSGPDP) POLICY

The President issues the following Policy implementation procedures for the SSGPDP Policy:

A. Program approvals. Prior to operation, all SSGPDPs must obtain necessary program approvals pursuant to this Policy and the processes detailed in the Compendium. Similarly, all SSGPDPs that are being discontinued or converted back to state-supported status must adhere to the requirements of this Policy and the Compendium. New SSGPDPs, and state-supported programs seeking to convert to SSGPDP status, may apply for review of proposed student charges [see B.] prior to completion of program approval processes. However, no student charges will be approved in advance of final program approval.

B. Annual process for certification of self-supporting status and Presidential approval of self-supporting program charges. The President will annually approve student charges for each SSGPDP. In order to receive Presidential approval for student charges, each SSGPDP and each campus with one or more SSGPDPs shall follow the following procedures:

1. Annual program templates.
   For each SSGPDP, a UCOP template shall be filled out that covers the following elements:
   a. Program approval status. The completed template shall indicate the program approval status for the SSGPDP, the date and results of its most recent academic program review, and/or the dates the next academic program review will begin and be completed.
   b. Current and proposed student charges. The completed template shall include, at a minimum, the current level of student charges and the projected student charges for the next year. Approved Compulsory Campus-based Student Fees may be charged to SSGPDP students when it can be shown that SSGPDP students benefit from the services funded by those fees.
c. Financial accessibility. The completed template shall include a description of the SSGPDP’s student financial support plan and the extent to which it is attaining its financial accessibility goal. For programs that have converted or are proposing to convert from state-supported status, the description shall compare the program’s student financial accessibility with that of other UC programs offering similar degrees, whether self-supporting or not.

d. Cost analysis. The completed template shall include an annual cost analysis that demonstrates that the proposed student charges cover full direct and indirect costs, or (to the extent that student charges are insufficient to cover these costs) that no disallowed funds will be used to subsidize the program. The required elements and format of the cost analysis shall be specified in the UCOP template.

New SSGPDps are subject to the same cost analysis. Programs are expected to become fully self-supporting within three years, though campuses may continue to subsidize programs with non-disallowed funds at their discretion. Program deficits, including any deficits during the phase-in period, must be covered by the campuses; disallowed funds may not be used to cover any deficit. The template shall require campuses to identify in advance fund sources that will be used to cover any projected deficits and to identify fund sources being used to cover any current deficits.

e. Consultation. The completed template shall include a section identifying the stakeholders who were consulted and when and how the consultation took place, and providing a short summary of the feedback received from each category of stakeholders. Input on program characteristics and the level of student charges must be regularly sought from program stakeholders and must cover a multi-year period. Stakeholders must include students in and faculty from the program. Prior to establishing a new program, student input shall be sought from students likely to apply to such a program.

2. Annual campus submittals.

Each campus with one or more SSGPDps must provide an annual submittal consisting of (1) a cover letter from campus leadership to the Vice President—Budget and Capital Resources requesting approval of student charges for the upcoming year and (2) the annual program templates for each of the existing or proposed SSGPDps on that campus. Specifically, the cover letter shall include:
a. A statement that appropriate campus leadership has reviewed and approved the attached templates for each SSGPDP on that campus. The statement must certify that each program is operating on a self-supporting basis (or is using non-disallowed funds to cover any deficit) and is in compliance with this Policy.

b. A request to approve the proposed level of student charges for each existing or proposed SSGPDP for the upcoming year.

c. A table showing, for each SSGPDP, the current level of student charges, the proposed level of student charges, and the percentage increase or decrease, if any. UCOP will provide a template for this table to ensure that student charges can be compared across programs.

d. A statement that the campus Chancellor approves the student charges request (if the letter is not from the Chancellor).

3. **Timeline for submittals.**

a. November preceding the next academic year – Campuses receive templates from UCOP together with instructions on the process for the required annual submittals.

b. February 1 – Budget and Capital Resources (BCR) at UCOP receives completed campus annual submittals with the attached templates for each SSGPDP. Staff designated by the Vice President-BCR and the Provost begin to review proposals.

c. March 1 – Provost and Vice President-BCR receive the results of UCOP staff review, including campus annual submittals with the attached templates for each SSGPDP.

d. April 1 – President makes decisions and campuses are notified of approved program student charges for the upcoming academic year.

e. The President reports this information to The Regents annually.
C. Miscellaneous implementation guidelines:

1. **Reporting of enrollments.**
   SSGPDPs should be identified in the Corporate Student System with a separate major code from state-supported programs and with an attribute code flagging enrollments in each SSGPDP as self-supporting.

2. **Faculty workload.**
   All faculty participation in the SSGPDP must be funded directly from SSGPDP revenue in proportion to the faculty member’s workload commitment to the program. If the faculty member’s participation is in lieu of some of his or her responsibilities as a full-time UC employee, then the SSGPDP must reimburse the faculty member’s department an amount equivalent to the cost of that particular faculty member’s time. Consistent with the requirement that the SSGPDP must cover all program costs, the total cost of faculty salary, benefits, and retirement must be funded by SSGPDP-generated or other non-disallowed funds. If the faculty member’s participation is in addition to his or her responsibilities as a full-time UC employee, then he or she should receive additional compensation which must be calculated and recorded in accordance with relevant Academic Personnel Manual policies and reporting requirements.

VI. RELATED INFORMATION

[Regents’ Delegation of Authority to the President to Set Fees for Self-Supporting Degree Programs](http://www.ucop.edu/academic-planning-programs-coordination/_files/documents/ssp_delegtopres.pdf)

[UCOP Self-Supporting Degree Programs Information](http://www.ucop.edu/academic-planning-programs-coordination/academic-planning/planning-policies-and-other-activities/self-supporting-programs.html)

VII. FREQUENTLY ASKED QUESTIONS

To be developed
VIII. REVISION HISTORY

July 30, 1979 – Policy on Part-Time, Off-Campus Professional Graduate Degree Programs

June 24, 1996 – Policy on Self-Supporting Part-Time Graduate Professional Degree Programs
http://www.ucop.edu/academic-planning-programs-coordination/_files/documents/96_ssp_pol_implmntn.pdf

September 23, 2011 – Policy on Self-Supporting Graduate Degree Programs

______. 2013 – Self-Supporting Graduate Professional Degree Programs Policy