FINANCIAL PLANNING GUIDELINES FOR

PROFESSIONAL DEGREE SUPPLEMENTAL TUITION
SELF-SUPPORTING PROGRAM FEES
PROFESSIONAL SCHOOLS

INTRODUCTION

This document describes the financial planning required for charging professional degree supplemental tuition or self-supporting program fees for new or existing academic programs, as well as establishing new professional schools. Financial plans must be reviewed by the Office of Planning and Budget and approved by the Campus Provost/EVC prior to submission to UCOP for Regental and/or Presidential approval. Financial plans must:

1. Adhere to system-wide and Regental policies,
2. Justify the need to charge fees beyond or in lieu of mandatory system-wide fees,
3. Address campus financial guidelines,
4. Provide a financial plan that includes multi-year enrollment, revenue and expense projections under multiple scenarios following the given planning parameters.
5. Provide sufficient detail to allow a rigorous evaluation of the plan.

DEFINITIONS

Professional Degree Supplemental Tuition (PDST) is established for specific graduate degree programs and requires Regental approval. PDSTs are charged in additional to all other system-wide and campus mandatory fees. PDST revenue supplements general funds and is intended to sustain and enhance the quality of the professional schools’ academic programs and services.

Self-Supporting Fees are established for specific non-Ph.D. graduate degree programs and require Presidential approval. These fees are charged in lieu of system-wide mandatory fees. Programs are funded entirely by the student fee revenue and other external sources. General funds may not be used for self-supporting programs beyond a short initial phase-in period.

Professional Schools are academic units typically comprising one or more departments that offer one or more degree and non-degree programs. Individual programs may be supported differently, consistent with University policy. Professional Schools may be funded by a mix of state funding, PDST revenue, Self-Supporting fee revenue, and external resources.
Section I: Professional Degree Supplemental Tuition

PROFESSIONAL DEGREE SUPPLEMENTAL TUITION

Professional degree supplemental tuition (PDST) may be established for specific graduate degree programs, and require Regental approval for both new PDSTs and for increases to established PDSTs. PDSTs are charged in addition to all other system-wide and campus mandatory fees. The Regents approve all campus PDST proposals annually, effective for the subsequent fall quarter. Campus approvals must be completed before transmitting the proposal to UCOP. Refer to the timeline below for steps needed to implement a new PDST or increase an existing one. Note that it takes at least two years to establish a new PDST and one year to receive approval to increase an existing PDST.

System-wide/Regental Policies:

1. Professional degree supplemental tuition may be assessed to students enrolled in graduate professional degree programs, as determined by the Regents, to sustain and enhance the quality of the professional schools’ academic programs and services.
2. A multi-year plan must be submitted (subject to annual reconsideration), including:
   - Level of resources required to sustain academic quality and enrollments
   - Ability of program to remain competitive with institutions of similar quality
   - Cost of education for each specific degree program
   - Fees charged by comparable public and private institutions for each specific program
   - Other market-based factors (such as scholarship and grant support) that permit the program to successfully compete for students
3. Financial aid programs must be targeted for students in the program to ensure access and minimize financial barriers to the pursuit of careers in public service. Funding equivalent to least 33% of PDST revenue must be used for financial aid.
4. For programs directly supported by state funds, the total tuition and/or fees charged by comparable degree programs at other comparable public institutions should be taken into consideration when developing a multi-year plan.

Guidelines for New PDSTs and Changes to Existing PDSTs:

1. Professional degree programs include a component of state support, with PDST income supplementing campus funding levels.
2. State Funds, tuition and other core campus fund sources will be managed through the usual campus budget process and policies.
3. PDST income, external gifts/grants and other revenues will be retained by the program, subject to assessments by the campus (i.e. gift fees) and UCOP. Plans must build in a 2% UCOP assessment on all PDST income.
4. At least 33% of PDST revenue must be allocated for financial aid (or funding equivalent to 33% of revenue) for students in the program. Plans must describe how financial aid funds will be utilized.
5. Financial aid from Tuition and Student Services Fee income will be managed by the Graduate Division through the University Student Aid Program.
6. The plan should consider the availability of financial aid for needy students, loan forgiveness programs for students pursuing low-paying public service jobs, and outreach and marketing strategy to explain financial aid and loan forgiveness programs.
7. Tuition and fee levels from public and private comparison institutions must be included.
8. PDST proposals must include sufficient detail to evaluate the financial needs of the program.
9. Degree program reviews will occur in accordance with campus policy on academic program assessment. Financial viability reviews will occur on a three year cycle.
Section I: Professional Degree Supplemental Tuition

Additional Guidelines for Increases to Professional Degree Supplemental Tuition:

1. Increases in PDSTs must be justified by programmatic and financial needs, while not adversely affecting access and inclusion, particularly for students interested in pursuing low-paying public interest careers.

2. Fee increases should generally be no more than 6% or the percentage increase in Tuition for a given year, if higher than 6%. Proposals for higher fee increases must include a plan that is endorsed by the Chancellor, describing the academic and/or programmatic reasons for the increase.

PROPOSAL OUTLINE

PDST proposals must address the following topics and include the applicable financial template(s).

I. Justification & Required Documentation:
Complete the UCOP template to submit the information required to justify professional degree fees. Go to: http://planning.ucsc.edu/budget/pdf.asp for the most recent version of the template. The template generally changes annually. Contact Planning & Budget to verify you are completing the proper version.

II. Space: Describe the space requirements of the program. Will the program be located on-campus, off-campus or conducted through distance learning? How will space needs be met? If the proposed fee is for a new graduate degree, reference the space needs in the degree proposal.

III. Computing & Equipment Needs: Describe the computing equipment, networking, server and technical infrastructure and support requirements of the program, including any need for applications, database or systems administration, desktop support, accounts or help desk services. Will existing ITS service agreements cover the proposed program, or will a revised agreement be necessary with associated cost changes? Are there any specialized (non-computing) equipment needs?

IV. Endorsements: Endorsements should be appended from the offering unit, overseeing dean and any affiliated academic department(s), research center, or other entity that may be impacted.

APPROVAL PROCESS FOR PDSTs PROPOSED FOR ESTABLISHED GRADUATE DEGREE PROGRAMS

Where the proposing unit is an academic department, division, school or unit overseen by an academic dean:

1. The program faculty members complete the PDST proposal and transmit it to the program’s overseeing dean with comment.

2. The overseeing dean transmits the PDST proposal with a recommendation to the Vice Provost, Academic Affairs and Vice Chancellor Planning & Budget.

3. The VC Planning & Budget provides budgetary analysis and recommendation to the VPAA.

4. The VPAA transmits the PDST proposal, with budgetary analysis and recommendation, to the Graduate Council, CPB and GSA President, and asks for their comment.

5. Subsequent to receiving comments, the VPAA makes a recommendation to the Campus Provost/Executive Vice Chancellor.

6. Assuming favorable review, the CPEVC forwards the PDST proposal to UCOP.

7. UCOP reviews the proposal and determines whether to seek approval by the Regents.
Section I: Professional Degree Supplemental Tuition

APPROVAL PROCESS FOR PDSTs FOR PROPOSED GRADUATE DEGREE PROGRAMS

Proposed graduate degree programs including an expectation of PDST charges must follow the campus and system-wide approval process for new degrees; receive approval of both the new graduate program and Regental approval for the PDST associated with the program.

Where the proposing unit is an academic department, division, school or unit overseen by an academic dean:

1. The PDST proposal is appended to the proposal to establish a graduate degree program. The overseeing dean transmits the graduate program proposal with a recommendation to the VPAA.
2. The VPAA requests the VC Planning & Budget to provide budgetary analysis and recommendation.
3. The VPAA transmits the graduate program proposal, with budgetary analysis and recommendation, to the Graduate Council, CPB and GSA President.
4. Subsequent to receiving Graduate Council curricular approval and CPB/GSA comments, the VPAA makes a recommendation to the CPEVC.
5. Assuming favorable campus review, the CPEVC transmits the graduate program proposal to UCOP and CCGA.
6. Subsequent to UC Presidential approval of the new graduate program, the CPEVC forwards the PDST proposal to UCOP.
7. UCOP reviews the PDST proposal and determines whether to seek approval by the Regents.

If the campus approval process has been successfully completed, but the graduate degree program proposal has not been approved by UCOP and CCGA, it may be possible to continue toward Regental approval of the PDST. The graduate degree program must be far enough along in the review process by UCOP and CCGA that it appears likely that approval will be granted before the Regents are asked to approve the PDST. These situations will be evaluated on a case-by-case basis in consultation with UCOP.

TIMELINES assume approval by Regents in November, effective for the following fall quarter. In years when Regental action is delayed, the timelines will be adjusted to reflect the revised UCOP schedule.

FOR REQUESTING NEW PROFESSIONAL DEGREE SUPPLEMENTAL TUITION FOR ESTABLISHED GRADUATE DEGREE PROGRAMS (where “X” is the year the new PDST is effective):

YEAR: X-2 (Two years before fee is to be implemented)

| September-October | Program develops initial proposal for new PDST in collaboration with VPAA, VCPB. Full range of information for Regental approval not expected; however, sufficient rationale and supporting data is required to justify the new PDST. |
| November 1 | Initial proposals due to VPAA & VCPB Senate & GSA comments requested |
| November-December | Campus review and revisions to initial proposals made |
| January 31 | Last day to submit initial proposals to VPAA & VCPB |
| February 28 | CPEVC forwards letters of intent to UCOP based on initial proposals |
| March | Clarify/Modify/Revise proposals based on feedback from UCOP |

UPDATED: April 17, 2012
Section I: Professional Degree Supplemental Tuition

April 30  
Final proposal due to VPAA & VCPB for new PDSTs

May 30  
CPEVC submits final proposals to UCOP for new PDSTs

YEAR: X-1 (One year before fee is to be implemented)
Spring/Summer  
Final UCOP comments/feedback; development of Regents Item
November  
Regents meeting to approve fees for following fall quarter
December-June  
Notify prospective and continuing students of approved fee levels for next year

FOR REQUESTING A PROFESSIONAL DEGREE SUPPLEMENTAL TUITION INCREASE FOR EXISTING PROGRAMS
(where “X” is the year the PDST increase is effective):

YEAR: X-2 (Two years before fee increase is to be implemented)
Spring Quarter  
Begin planning/evaluation of potential fee increases, consulting w/ VPAA and VCPB;
Begin required consultations with faculty and students
Prepare data for summer submission

YEAR: X-1 (One year before fee increase is to be implemented)
July-August  
Program staff works with VPAA and Planning and Budget to complete
required templates and associated information;
UCOP sends campuses data about diversity and affordability. Campuses review
data and propose revisions.
August 15  
Last day for Program staff to complete templates and submit other required
information to VPAA and VCPB.
August 31  
CPEVC transmits templates and supporting information to UCOP
September  
UC Provost, OP staff, others discuss submissions with campuses
November  
Regents meeting to approve fees for following fall quarter
December-June  
Notify prospective and continuing students of approved fee levels for next year

ASSESSMENT
1. The overseeing academic dean manages PDST implementation and is responsible for ensuring
campus policies are followed.
2. The VC Planning & Budget will manage PDST financial viability reviews on a three year cycle or sooner
if fee increases are requested.
3. The graduate degree program will be reviewed in accordance with campus academic program review
procedures. The 3 year PDST financial viability review will be a required component of the program
review.
Section II: Self-Supporting Program Fees

SELF-SUPPORTING PROGRAM FEES

Self-Supporting Fees are established for specific non-Ph.D. graduate degree programs and require Presidential approval for both new fees and for increases to established fees. These fees are charged in lieu of system-wide mandatory fees. Programs are funded entirely by the student fee revenue and other external sources. General funds may not be used for self-supporting programs beyond a short initial phase-in period. Currently, the President approves self-supporting fee proposals in April or May for implementation the following fall quarter. Campus approvals must be completed before transmitting the proposal to the Regents.

Note that contingent on the proposed program operations, there may be other consultations and processes required (i.e. Business Contracts, Real Estate Office, Controller, Campus Counsel, Academic Personnel Office, etc.). Contact Academic Affairs and Planning and Budget for guidance.

System-wide/Regental Policies and Overarching Principles:

1. Self-supporting graduate degree programs allow the University to serve additional students above and beyond the resources provided by the State while fulfilling demonstrated higher education and workforce needs. Programs need to meet at least one of the following criteria, although meeting a single criterion is not necessarily sufficient justification:
   a. Primarily serve a non-traditional population, such as full-time employees, mid-career professionals, international students, and/or students supported by their employers;
   b. Be offered through an alternative mode of delivery, such as online instruction;
   c. Be alternatively scheduled, such as during evenings, weekends and summers;
   d. Be offered in an alternative location (e.g. off-campus centers).

2. Such programs shall not be undertaken if they strain the resources of the sponsoring department or have an adverse effect on regular programs on the campus. Programs should reach self-supporting status (i.e. no general fund subsidy) as soon as possible and include all related costs, including but not limited to faculty instructional costs, program support costs, student services costs, and campus overhead. A cost analysis and phase-in plan is required.

3. By expanding self-supporting programming that serves practitioners, the department may have access to additional field-based resources (working students, employers and field-based lecturers) that it might not otherwise be able to afford. These programs should be undertaken in partnership with the profession served, where appropriate.

4. Courses may be offered on-campus, at appropriate off-campus locations, or a combination of facilities. Distance technologies should also be engaged as appropriate. Programs leading to any graduate degree other than a Ph.D. under the jurisdiction of the Graduate Division may, in cooperation with University Extension, provide at a center or centers other than a campus, a program of graduate instruction designed to satisfy (in full or in part) the requirements of that degree.

5. Ph.D. programs are not eligible to become self-supporting programs. Academic master’s degree programs that solely or primarily lead to a Ph.D. degree are not eligible to be self-supporting.

6. Self-supporting programs should adhere to the same standards of quality as regular programs, as determined by the Graduate Council.

7. Self-supporting programs should be established by academic departments and staffed with faculty on the same basis as regular programs. Certain practice-oriented programs may warrant a higher proportion of non-regular faculty (adjuncts, lecturers, visitors), in accordance with Graduate Council standards. Under no circumstances shall anyone teach in these programs whose appointment has not been subject to the appropriate academic review.
Section II: Self-Supporting Program Fees

8. Program publicity and marketing must meet the highest standards of quality and accuracy.
9. Self-supporting programs may be administered in cooperation with University Extension where and when appropriate. UNEX's role is generally limited to assisting in activities that are part of the administration of the program (e.g. enrollment, collecting fees, advertising, career services and technical support) although UNEX may provide more services when requested by the department. Programs administered through UNEX are not required to obtain fee approval from the President.¹
10. Admission standards should be comparable to those for state-supported programs and students must be admitted to the Division of Graduate Studies through the regular admissions process in order to enroll.
11. Access to courses must be equally available to all qualified students. No preference may be given to members of any non-University sponsoring organization. Admissions criteria may specify some type or period of work experience in the field.
12. Self-supporting programs will not be funded from General Funds.
13. Self-supporting program tuition/fees should cover all program costs after a short phase-in period, including instruction, academic support, facilities costs and campus overhead.
14. Resources for state-supported and self-supporting programs must be separately accounted for. A “blended” fee may not be charged for any course or program (i.e. a fee that combines state-supported and self-supported students).
15. Programs must have an articulated financial accessibility goal and a student financial support plan for achieving their goal. Examples include providing scholarships or grants from program resources (such as return-to-aid on self-supporting fee revenue or private philanthropy), providing tuition/fee waivers, participation in loan programs, and participation in other external support programs such as veterans’ benefits.

Financial Guidelines:

1. Self-supporting degree programs are may not be subsidized by General Funds beyond an initial phase-in period.
2. Existing state-supported programs that receive approval to shift to self-supporting status will have all General Funds and other core funds withdrawn and returned to the central campus over the phase-in period. Funds withdrawn will be based on the actual level of resources currently dedicated to the program (when this can practically be determined) or by using a formula based on enrollment levels.
3. A portion of the fee revenue will be assessed for campus-wide support services (i.e. libraries, student services, facilities maintenance, administrative support, etc.). This is described in more detail in Financial Assumptions below.
4. The Division or School that houses a self-supporting program may also assess a modest fee for administrative support provided by the Division/School. The amount should not exceed the level of the campus assessment.
5. Educational Fees and Student Services Fees will not be charged once the program is fully self-supporting.

¹ Per 2/22/01 letter from Vice President for Budget Larry Hershman, “Extension can administer and operate the program, with the academic department providing academic oversight. In this case, the campus will write to UCOP, indicating that the program is administered through Extension and that the fee being charged is sufficient to cover both direct and indirect costs. Presidential fee approval is not required.”
Section II: Self-Supporting Program Fees

6. Campus-based fees will be charged for on-campus programs in addition to self-supporting program fees and will be passed through to the programs specifically funded by those fees and are not retained by the school or the center. (The list of mandatory campus-based fees is available at: http://reg.ucsc.edu/Fees/fees.html). An exception may be granted in special circumstances if students will not have access to services.

7. All faculty must be funded directly from self-supporting program revenues in proportion to workload commitment to the program, or the program must reimburse an amount equivalent to the actual cost of faculty time. Alternatively, faculty can be paid for overload teaching within appropriate policies and guidelines.

8. During ramp-up period, plans must identify where funding will come from for start-up costs and operating expenses until steady-state is reached. Programs should be fully self-supporting within a 3-year period. Describe how any shortfalls will be handled and through what fund source.

9. Proposals must include sufficient detail to evaluate the financial needs and viability of the program, as well as how curricular requirements will be addressed. Filled positions should include the name of the incumbent, title, actual salary/benefits costs, percent time and responsibilities (i.e. number of courses taught, programs administered, support staff/functions, etc.). Vacant/proposed positions should indicate title and level, estimated salary/benefits costs, percent time and responsibilities.

10. Self-supporting degree programs may be discontinued if they are not financially viable as self-supporting entities. Campus policy regarding degree discontinuance, including Senate consultation, must be followed. Self-supporting programs that run a deficit will be charged interest on the deficit.

Financial Assumptions:

1. No funding from the central campus will be provided.

2. The department/division may provide General Funds during the approved phase-in period, but for no longer than 3 years.

3. General Funds supporting existing programs will be returned to the central campus during the phase-in period.

4. A campus assessment will cover indirect costs for centrally-provided services including (but not limited to):
   a) Accounting and Business Services;
   b) Human Resources and Academic Personnel;
   c) Chancellor’s & EVC’s Offices;
   d) Student Services;
   e) Library;
   f) Information Technology (excluding Information User and IT services that are provided on a fee-for-service basis);
   g) Planning & Budget;
   h) Internal Audit & Risk Management;
   i) Facilities Operations & Maintenance

2 http://planning.ucsc.edu/acadplan/newpgmdev.asp
Section II: Self-Supporting Program Fees

For off-campus programs where the department is responsible for paying all facilities costs, the campus assessment is 8% of total revenues.

For programs where the department does not directly pay for facilities costs (on-campus or off-campus), the campus assessment is 13% of total revenues.

5. A 2% UCOP assessment on self-supporting (and other) income will also be levied.
6. As approved by the overseeing Dean, the Division or School may assess an administrative fee at a level not to exceed the campus assessment.
7. Information User charges are assessed at the rate of $1,333/weighted FTE (for 2012-13). Faculty/staff FTE weighted at 100%. Graduate majors weighted at 50%.
8. Faculty and staff time must be split between general funds (for state-supported programs) and fee revenue (for self-supporting programs) and should be based on the effort of the individuals supporting both areas.
9. Benefits costs for career positions are based on actual costs when known. For new positions use $11,450 per position plus 27% of the salary cost as of 2012-13. Assume the fixed portion will increase by 8% per year and the variable portion by 2 percentage points per year.
10. Salary and benefit cost increases will be paid through fee income (or other sources available to the department/division).
11. Any specialized services that have an analogous campus-wide support function must be funded by the self-supporting program. Examples include a remote library, enhanced student services not available on campus, special computing facilities, administering Graduate Admissions, etc.

PROPOSAL OUTLINE

Self-supporting fee proposals must address the following topics and include the applicable campus and UCOP financial template(s).

I. Justification:
FOR ESTABLISHING NEW SELF-SUPPORTING PROGRAMS OR SHIFTING EXISTING PROGRAM TO SELF-SUPPORTING STATUS ONLY
1. What are the program’s educational objectives and specific requirements for the degree?
2. Why is it appropriate for this program to charge a self-supporting degree fee?
3. Why is the program more expensive than a regular graduate program?
4. For programs within a larger discipline, why is this program chosen for a self-supporting program fee, but not others?
5. Do students have elevated earning potential after earning a degree? To what extent?
6. How will the educational program benefit from the establishment of this fee?
7. How will fee revenue be used?
8. What consultation with faculty has been done regarding establishing a self-supporting degree fee in this discipline?
9. Describe the basis upon which the fee level per student is set. How does this compare to similar programs at comparable institutions and market factors?
10. How will student affordability be monitored and addressed? Describe the level and types of financial assistance programs that will be offered.
11. Why is the program proposed as a self-supporting entity and not offered in cooperation with UNEX? Consult with UCSC University Extension and request written comments from the UNEX dean. Append the Dean’s comments.
Section II: Self-Supporting Program Fees

FOR REQUESTING A FEE INCREASE FOR EXISTING SELF-SUPPORTING PROGRAMS ONLY

1. Why is a fee increase needed?
2. How will the additional fee revenue be used?
3. How does the new fee level compare to similar programs?
4. How will the fee increase affect affordability? Describe the level and types of financial assistance programs that are offered or will be added.
5. Describe the feedback received from consultation with faculty.

II. Student Demand:

1. Two scenarios should be described:
   - The expected level of enrollments over a minimum 5 years
   - The minimum level of enrollments needed to justify the program’s financial viability
   - Also describe what a steady state enrollment level will be and when it should be reached
2. Describe marketing/outreach plans to attract students. Describe plans for meeting enrollment targets and what will be done if target is not met.
3. Describe how student demand justifies creation of the program. How are you determining the projected enrollment levels?

III. Space: Describe the space requirements of the program. Will the program be located on-campus, off-campus or conducted through distance learning? How will space needs be met? Reference space resources in the new degree proposal, if relevant.

IV. Computing & Equipment Needs: Describe the computing equipment, networking, server and technical infrastructure and support requirements of the program, including any need for applications, database or systems administration, desktop support, accounts or help desk services. Will existing ITS service agreements cover the proposed program, or will a revised agreement be necessary with associated cost changes? Are there any specialized (non-computing) equipment needs?

V. Financial Plan: Using the template(s) provided, detail the financial plan using the campus guidelines and assumptions. The plan should extend at least 5 years. For existing programs, also include an estimate of current year finances and prior year actuals. 2 scenarios should be provided (see Student Demand).

Degree program reviews will occur in accordance with campus policy on academic program assessment. Financial viability reviews will occur on a three year cycle, managed by the Office of Planning and Budget.

VI. Endorsements: Endorsements should be appended from the offering unit and any affiliated academic department(s), research center, or other entity that may be impacted.

APPROVAL PROCESS FOR SELF-SUPPORTING FEES PROPOSED FOR ESTABLISHED GRADUATE PROGRAMS

1. The overseeing dean transmits the comprehensive proposal with a recommendation to the VPAA and VC Planning & Budget.
2. The VC Planning & Budget provides budgetary analysis and recommendation to the VPAA.
3. The VPAA transmits the Self-supporting fee proposal, with budgetary analysis and recommendation, to the Graduate Council and CPB, and asks for their comment.
4. Subsequent to receiving Senate comments, the VPAA makes a recommendation to the CPEVC.
5. Assuming favorable review, the CPEVC forwards the proposal to UCOP.
6. UCOP reviews the proposal and forwards the proposal to the UC President.
7. The UC President approves or rejects the proposed fee.
8. The academic dean oversees program implementation and is responsible for ensuring campus policies are followed, including ensuring regular financial viability reviews coordinated by the Office of Planning and Budget.

APPROVAL PROCESS FOR SELF-SUPPORTING FEES FOR PROPOSED GRADUATE DEGREE PROGRAMS

Self-supporting fee proposals for new degree programs must follow the campus and system-wide approval process for new degrees. The new graduate program must be approved and Presidential approval must be received for the self-supporting fee associated with the program.

1. The self-supporting fee proposal is appended to the proposal to establish a graduate degree program. The overseeing dean transmits the graduate program proposal with a recommendation to the VPAA.
2. The VPAA requests the VC Planning & Budget to provide budgetary analysis and recommendation.
3. The VPAA transmits the graduate program proposal, with budgetary analysis and recommendation, to the Graduate Council and CPB.
4. Subsequent to receiving Graduate Council curricular approval and CPB comments, the VPAA makes a recommendation to the CPEVC.
5. Assuming favorable campus review, the CPEVC transmits the graduate program proposal to UCOP and CCGA.
6. The UC President has final approval of the new graduate degree program and fee.

A Self-supporting Fee Comprehensive Proposal includes
- Narrative following the above outline.
- Financial template
- If UNEX partnership, UNEX Dean comments
- Sponsoring unit endorsement.
- Affiliated unit endorsements
- Overseeing dean recommendation

TIMELINE FOR REQUESTING A NEW SELF-SUPPORTING FEE FOR ESTABLISHED GRADUATE DEGREE PROGRAMS

<table>
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<tr>
<th>Quarter</th>
<th>Event/Action Details</th>
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<tr>
<td>Fall Quarter</td>
<td>Initial fee proposal developed in consultation with VPAA and VCPB</td>
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| November 1    | Last day to submit initial proposals to VPAA and VCPB
                | Senate comments requested |
| December      | Campus receives cost analysis templates from UCOP for following year;
                | Detailed instructions for fee approval request provided |
| January       | Program staff works with VPAA and Planning and Budget to complete campus request and templates |
| January 30    | Last day for Program to formalize template and other required information to VPAA and VCPB |
Section II: Self-Supporting Program Fees

February
VPAA and VCPB work with program staff to revise and finalize information

March 1
Final templates and letters due to UCOP from CPEVC

April-May
UCOP reviews requests and solicits additional information/clarification
Proposals forwarded to President for approval

May-June
UC Presidential approval provided for following fall quarter

TIMELINE FOR REQUESTING A FEE INCREASE FOR EXISTING SELF-SUPPORTING FEE PROGRAMS

Fall Quarter
Program staff notifies VPAA and VCPB of intention to request fee increase

December
Campus receives cost analysis templates from UCOP for following year;
Detailed instructions for fee approval request provided

January
Program staff works with VPAA and Planning and Budget to complete
campus request and templates

January 30
Last day for Program to formalize template and other required information
to VPAA and VCPB

February
VPAA and VCPB work with departmental staff to revise and finalize information

March 1
Templates and letters due to UCOP from CPEVC

April-May
UCOP reviews requests and solicits additional information/clarification
Proposals forwarded to President for approval

May-June
UC Presidential approval provided for following fall quarter
PROFESSIONAL SCHOOLS

Professional School planning and approval requires campus and system-wide consultation. Contact the Vice Provost for Academic Affairs for approval procedures. School proposals require a comprehensive financial plan. Establishment of new professional schools generally span multiple years.

Financial Assumptions:

1. General Campus Revenue: General Funds may be available for academic Ph.D. and professional degree programs, but not self-supporting programs (degree or non-degree). Do not show any ongoing general fund revenue for self-supporting programs. A temporary general fund subsidy may be approved for self-supporting programs during an initial phase-in period.

NEW SCHOOLS based on existing programs: Resource projections for General and other core funds should be based on current funding levels available for existing programs. A comprehensive study is required to determine the existing level of funding (direct and indirect) dedicated, which will be transferred to the new School. Additional general funds for new programs should be based on agreements by the Dean or the CPEVC.

NEW SCHOOLS w/o existing programs: The campus will generate approximately $20,000 in combined state funds, tuition, student services fees and non-resident tuition per student based on 2012-13 levels. For planning purposes, the school should assume funding from General Funds at the following levels:

- One faculty FTE @ $75,000 for each increment of 18.7 student FTE ($4,010/student)
- Benefits for each faculty @ $29,450 ($1,575/student)
- Instructional & Academic Support funding @ $3,500/student
- Total funding per student from state, tuition, and nonresident tuition = $9,085
- If the degree program is located off-campus and no central support for facilities operations and maintenance is provided by the campus, an additional $600 per student will be provided for facilities costs.
- Remaining funds are for campus-wide support services, including (but not limited to):
  a) Accounting and Business Services;
  b) Human Resources and Academic Personnel;
  c) Chancellor’s Office, EVC’s Office, and other central support offices;
  d) Student Services;
  e) Library;
  f) Facility Operations & Maintenance;
  g) Information Technology (excluding Information User);
  h) Internal Audit & Risk Management
  i) Student Aid (see #6 below)

There is no automatic provision of funding by the CPEVC for new/existing programs.

Up to 50% of the Student Services Fee ($485) may be available in cases where the school is off-campus and student services are provided by the school for similar purposes to that on-campus (but students do not have access to those on-campus services).
Section III: Professional Schools

2. Professional Degree Supplemental Tuition Revenue: Applicable to specific professional programs with Regental approval to charge a PDST. Assume all revenue is retained by the School, subject to UCOP and campus assessments. See Section I for more details.

3. Self-Supporting Program Fee Revenue: Applicable to specific non-Ph.D. graduate degree programs with Presidential approval. Assume all revenue is retained by the School, subject to UCOP and campus assessments. In order to assess financial feasibility, financial plans for these programs are looked at separately from other programs. See Section II for more details.

4. Financial Aid from Tuition & Student Services Fees totals $4,023 per student (based on 2011-12 fee levels) and will be managed by the Graduate Division through the University Student Aid Program. Financial Aid from any PDST revenue (or equivalent funding) and self-supporting program fees will be managed by the school or department.

5. Information User charges are based on $1,333/weighted FTE. Faculty/staff FTE weighted at 100%. Graduate majors weighted at 50%.

6. Benefits for new career positions are $11,450 per position plus 24-27% of the salary cost as of 2012-13. Assume the fixed portion will increase by 8% per year and the variable portion by 2 percentage points per year.

7. Non-discretionary salary and benefit cost increases will be paid by the campus through the usual channels on General Funded positions (as outlined in item #1 above) after they are initially established. The school will need to utilize fee income (or other sources) to pay these costs on non-General Funded positions.

8. Indirect cost recovery on contracts and grants will be retained centrally and allocated through established processes.

9. Mandatory campus-based fees will be passed through to the programs specifically funded by those fees and are not retained by the school or the center. (The list of mandatory campus-based fees is available at: http://reg.ucsc.edu/fees/fees.html).

10. Any specialized services that have an analogous campus-wide support function must be funded by the School. Examples include a remote library, enhanced student services not available on campus, special computing facilities, etc.

11. During ramp-up period, plans must identify where funding will come from for start-up costs and operating expenses until steady-state is reached.

Complete the financial template(s) provided by the Office of Planning and Budget showing sufficient expenditure detail to evaluate the financial needs and viability of the program, as well as how curricular requirements will be addressed. Describe how you are determining the projected enrollment levels, and include a scenario showing the minimum level of enrollments to ensure financial viability.

Filled positions should include the name of the incumbent, title, actual salary/benefits costs, percent time and responsibilities (i.e. number of courses taught, programs administered, support staff/functions, etc.). Vacant/proposed positions should indicate title and level, estimated salary/benefits costs, percent time and responsibilities. Include supplementary information explaining any additional assumptions used and justifying the need to specific faculty, staff and student positions, and other expenditures. If the financial plan relies on external gift/grant income, indicate whether funds are in hand, pledged, or being sought.

Degree program reviews will occur in accordance with campus policy on academic program assessment. Financial viability reviews will occur on a three year cycle, managed by the Office of Planning and Budget.