IMAGINE | THE UNIVERSITY OF UTAH®

About University of Utah Regulations

September 22, 2021
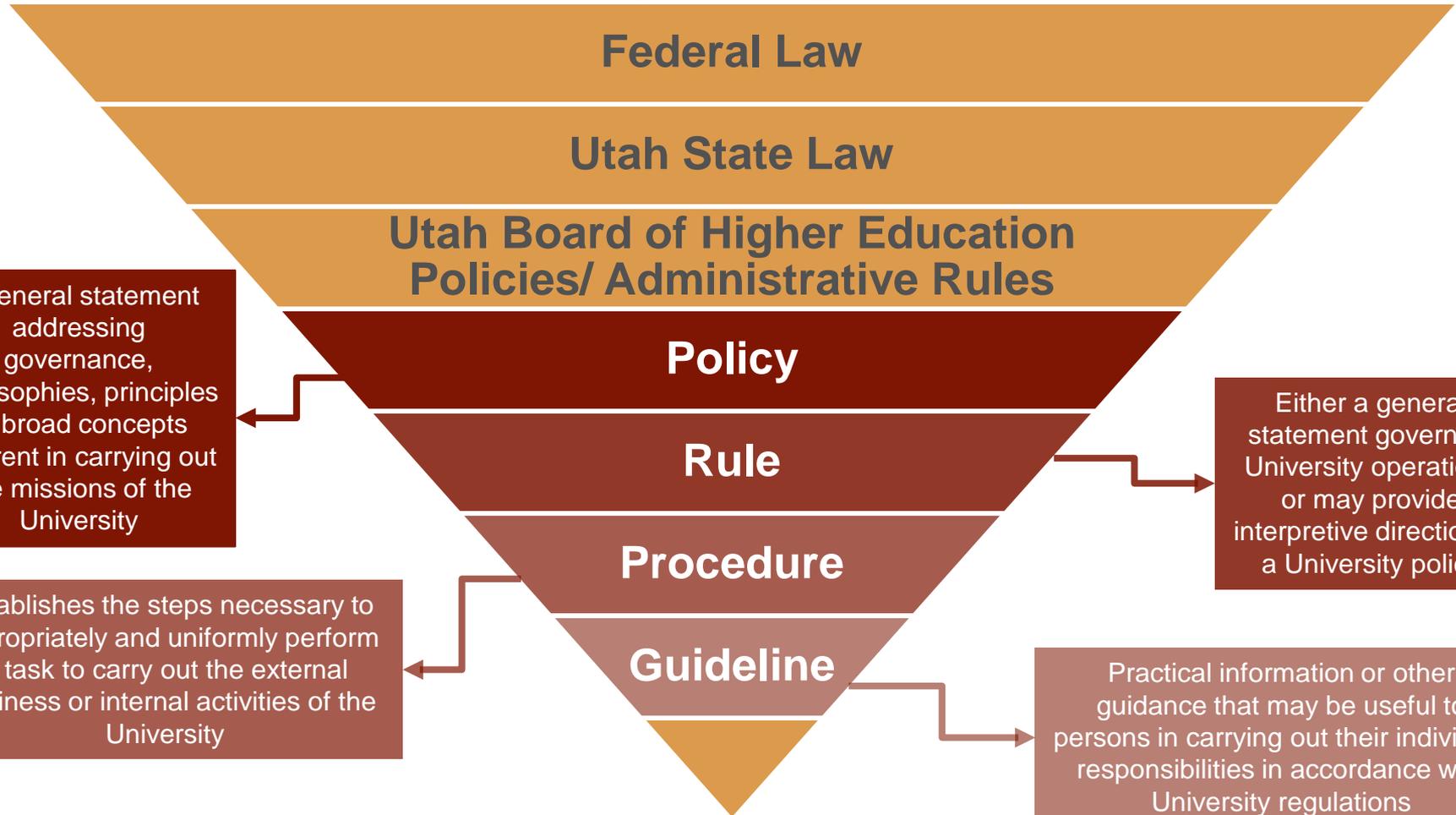
Regulations about University Regulations

Policy 1-001 Policy on University Regulations

- Describes types of University regulations
- Describes process for approving University regulations

Rule 1-001 Oversight and Development of University Regulations

- Describes the Institutional Policy Committee
- Provides additional information about University regulations

Types of University Regulations

Federal Law

Utah State Law

Utah Board of Higher Education Policies/ Administrative Rules

Policy

Rule

Procedure

Guideline

A general statement addressing governance, philosophies, principles or broad concepts inherent in carrying out the missions of the University
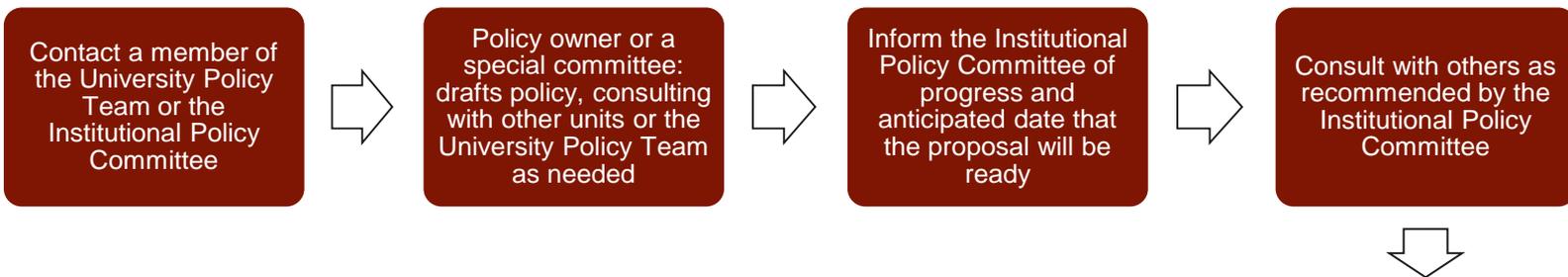
Either a general statement governing University operations or may provide interpretive direction of a University policy

Establishes the steps necessary to appropriately and uniformly perform a task to carry out the external business or internal activities of the University

Practical information or other guidance that may be useful to persons in carrying out their individual responsibilities in accordance with University regulations

University Policy Approval Process*

Drafting

Contact a member of the University Policy Team or the Institutional Policy Committee → Policy owner or a special committee: drafts policy, consulting with other units or the University Policy Team as needed → Inform the Institutional Policy Committee of progress and anticipated date that the proposal will be ready → Consult with others as recommended by the Institutional Policy Committee

Review

Present to Academic Senate for information **OR** Present to the Academic Senate for approval ← Present to Academic Senate Executive Committee ← Review by individuals and committees (President, Cabinet, General Counsel, Academic Deans etc.)

Approval & Publication

Receive approval of president or senior vice president → Receive approval of Board of Trustees → Regulation takes effect – final regulation publish in Regulation Library

*Policies go through the full process, rules and procedures do not follow full process.

Required Approval Steps by Type of Regulation

	Recommendation of President, or other administrative approval[1]	Presentation to Academic Senate Executive Committee	Presentation to Academic Senate for Information	Approval of Academic Senate	Approval of Board of Trustees
Policy (academic)[2]	✔	✔		✔	✔
Policy (non-academic)	✔	✔	✔		✔
Rule (academic) [2,3]	✔	✔	✔		
Rule (non-academic)	✔	✔			
Procedure[4]	✔				
Guideline					
Interim policy or rule	✔	✔			

Notes:
1. The president may delegate the authority to approve a rule a vice president or other officer. A vice president may approve a procedure.
2. An academic policy or rule "directly or significantly affects the carrying out of the University's academic missions," as determined by the Academic Senate Executive Committee. All policies in Parts 6, Academics, and Part 7, Research, are academic policies.
3. The executive committee may forward an academic rule to the full Senate for information or for approval.
4. If requested by two members of the Academic Senate, the Executive Committee shall review procedures, and if a majority of the Executive Committee determines that the matter directly or significantly affects the University's academic missions, then the matter shall be presented to the Academic Senate for information.

Regulations Library - https://regulations.utah.edu/

Part 1. General Policies

Part 2. Organization of the University of Utah

Part 3. General Administration and Operations

- Sec. 000 Financial Section
- Sec. 100 Procurement Section & Business Operations
- Sec. 200 Facilities
- Sec. 300 Safety and Security

Part 4. Information Technology

Part 5. Human Resources

- Sec. 000 Definitions
- Sec. 100 Employment
- Sec. 200 Personnel Relations
- Sec. 300 Benefits
- Sec. 400 Compensation

Part 6 Academics

- Sec. 000 Decision Making Structure for Academics
- Sec. 100 Instructional/Curriculum Policies
- Sec. 200 Graduate Studies
- Sec. 300 Faculty
- Sec. 400 Students
- Sec. 500 Curriculum

Part 7 Research and Creative Mission Operations

Part 8 Health Science Operations

Sec. 000 General Health Sciences and Medical School

Sec. 100 Nursing

Part 9 Community Relations and Institutional Advancement

Part 10 Miscellaneous

Numbering System

Each policy, rule, guideline, and procedure has a number that describes:

- the type of regulation it is
- where it fits in the Regulations Library
- for a regulation other than a policy, the associated policy

Example:

Policy 1-012

Rule: R1-012A

Procedure: P1-012A

Guideline: G1-012A

Structure of a Policy or Rule

- **Title**: Includes Number, Title, the Revision Number, and Effective Date
- **I Purpose**: The reason for the regulation. Answers the question "Why"
- **Scope**: The units of the University and the people to whom the policy applies. Answers the question "Who"
- **II Definitions**: Explains specific terms as they are used in the regulation and related rules – unless otherwise noted, apply only to the policy and related regulations
- **III Policy**: Uses an outline-style numbering format to list requirements. Note that provisions that answer "Why" generally belong in the purpose.

  A. Heading

    1. First provisions related to heading

       a.   Further clarification about provision 1

          i.   Further clarification about provision 1.a

  Use as many of each level of subordination as needed

Regulation Resource Information Included with Each Policy or Rule

- Provides information about the history of a policy and related laws or polices
- Not part of the policy, so can be updated at anytime
- Includes the following:
  - Policies/Rules, Procedures, Guidelines, Forms, and other Related Resources (resources that are related to the current policy, including for policies, any affiliated rule, and for rules, the affiliated policy
  - References (federal or state law, Utah Board of Higher Education policies, or state or federal regulations related to the policy)
  - Contacts – including the policy owner (the position of the primary contact person for questions and answers) and the policy officer (an executive level administrator at the university who designates the policy owner and may grant exceptions to policies)
  - History:
    - Approval dates of the current policy from the Academic Senate and Board of Trustees as applicable
    - Effective date of the policy
    - A legislative history document that includes information presented to the Academic Senate about the regulation, including an explanatory memo
    - A description of editorial revisions

Steps to Revise or Create a Regulation

1. Think about the change you want to make. Reach out to the University Policy Team for help with policy development and the process.
2. Consider whether there are existing laws, policies, or other guidelines that direct your policy changes.
3. Consider what resources you can use to help you draft your policy. For example, do other universities have a similar policy? Does an organization you participate in have a model policy?
4. Consider the appropriate level for your regulation – should it be a policy? A rule? A procedure?
5. Talk to your administration, such as your dean, department chair, associate vice president, vice president, or the president, or for students, the student body president, to make sure they support policy idea.
6. Think about who across campus might be interested in your policy, and consider coordinating with them before turning your idea into a draft.
7. Write a first draft of your policy, using the required template. If you are revising an existing policy, contact the University Policy Team, who can send you a word document of the existing policy to start from.
8. If you're revising an existing policy, make sure to use the track changes feature in Microsoft Word to clearly show what you're proposing removing from and adding to the policy.
9. Circulate your draft for feedback.
10. Bring your draft to the Institutional Policy Committee for review and feedback.

Help with Regulations

Visit the Contact Us Page

Or reach out to:

- Director, University Regulations: Allyson Hicks
- Director, University & Academic Affairs Policy Administration: Trina Rich
- Academic Senate Policy Liaison: Allyson Mower
- Institutional Policy Committee Chair: Jeff Herring, c/o Sarah Tice