

**Legislative History—Policies 6-001(Rev18), 6-300(Rev17), 6-003(Rev6),  
6-015(Rev0), 7-100(Rev0)**

Prepared by Bob Flores, for the Institutional Policy Committee, Summer 2014.

*The proposal affecting five University Policies was approved by the Academic Senate April 7, 2014, and approved by the Board of Trustees April 8, 2014, with a designated effective date of May 15, 2014.*

Contents (copied from the agenda materials for the Academic Senate Meeting of April 7, 2014):

(i) Explanatory Memorandum. **Page 2.**

(ii) Final version of each of the five Policies, as approved by Senate & Trustees.

- Revised Policy 6-001: Academic Units and Academic Governance--Roles of Faculties, Committees, Councils, and Academic Senate. Revision 18. **Page 9**
- Revised Policy 6-300: The University Faculty -- Categories and Ranks. Revision 17. **Page 32**
- Revised Policy 6-003: College Councils, and University Curriculum Policy Review Board. Revision 6. **Page 38**
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- New Policy 7-100: University Research Committees (Institutional Animal Care and Use Committee; Institutional Review Board for Research with Human Subjects). Revision 0. **Page 50**

Memorandum

From: Bob Flores, Senate Policy Liaison  
To: Senate Executive Committee members

**Re: Final proposal for revisions to University Policies regarding academic units and academic governance--- Policies 6-001, 6-300, 6-003, 6-015, 7-100**

Date: March 28, 2014

I. Overview:

In keeping with the feedback provided by the Executive Committee members, Senate members, representatives of the Graduate and Undergraduate Councils, and others consulted, this is the final revised version of the proposal that has been discussed within the Executive Committee over the past several months and preliminarily presented at the March 2014 Senate meeting, in contemplation of being presented for action at the April 7 Senate meeting.

This proposal for revising multiple University Policies regarding academic governance and academic organizational structures combines, for efficiency, phases of three projects which have been underway during years 2012-2013 and 2013-2014.

First and most significantly, the proposal is to follow through with a second phase of changes needed for Policies 6-001 and 6-300. In the first phase of that project approved in spring 2013, major changes to the structure of the Academic Senate and its committees were made through revising Policy 6-002, and major changes for the nomenclature and categories of faculty were made through partially revising Policy 6-300. Of particular note, those changes integrated members of the career-line category of faculty into the Senate and Senate Committee structure. By decision of the Executive Committee at that time, to keep that first phase proposal of manageable size and complexity, further changes to descriptions of the Senate in Policy 6-001 and changes to descriptions of University committees, the University faculty and procedures for meetings of the faculty in Policy 6-300 were not included in that first phase, but rather delayed, with an explicit commitment that they would be dealt with through a second phase during spring 2014. This current proposal follows through with that commitment. Among other effects, the changes held over for this second phase will eliminate serious conflicts between the previously revised contents of 6-002 and now outdated contents of 6-001 regarding Senate committees, and eliminate conflicts and redundancies between contents of revised 6-002 and 6-300.

Second, other changes are being proposed for 6-001 which will lay a needed foundation in Policy for improvements to be made to the University's systems for establishing and periodically reviewing academic units. This is done in contemplation of an important initiative currently underway to focus attention on a particular category of academic units-- Centers, Institutes, and Bureaus. A task force is now at work on improved systems for establishing and periodically reviewing such units. Outcomes of that task force project will include proposed new contents providing a Policy framework for the processes followed in establishing and reviewing all types of academic units—and the new contents will be placed in Policy 6-001. So, for

efficiency, this current proposal for revising 6-001 includes very significantly reorganizing it in such a way that a location for the “unit-establishment and reviews” contents is marked now, and the contents now being researched and developed can later be easily added.

Third, there is a general project of reorganizing and otherwise ‘cleaning up’ contents of several Policies which suffer from various problems, including multiple policies redundantly and inconsistently purporting to govern the same topics, having treatment of topics scattered among multiple Policies, having too many functionally unrelated topics jumbled together in a single Policy, and having badly outdated contents inconsistent with current practices. For efficiency, the third project of making those long-needed reorganizing and cleanup revisions is being combined with the other two projects, because many of the same Policies are involved in each of the three projects.

## II. Policies included (and contents of this overall proposal which are attached with this memorandum):

Revised Policy 6-001: Academic Units and Academic Governance--Roles of Faculties, Committees, Councils, and Academic Senate. Revision 18.

Revised Policy 6-300: The University Faculty -- Categories and Ranks. Revision 17

Revised Policy 6-003: College Councils, and University Curriculum Policy Review Board. Revision 6.

New Policy 6-015: The University Libraries. Revision 0.

New Policy 7-100: University Research Committees (Institutional Animal Care and Use Committee; Institutional Review Board for Research with Human Subjects). Revision 0.

## III. Highlights of changes:

### **A. Policy 6-001: [renamed as] Academic Units and Academic Governance--Roles of Faculties, Committees, Councils, and Academic Senate. Revision 18.**

As reorganized and with contents moved here from other Policies, as well as new contents added, this Policy will serve multiple important functions. It will provide a descriptive overview of all of the types of academic units of the University (e.g., departments, and colleges). Alongside that description it will house contents which prescribe the academic-decision-making authority of the faculty, within the various types of academic units, as well as the overall authority of the University faculty and the Academic Senate. This will be accomplished primarily by gathering into 6-001 certain contents previously scattered among Policy 2-004 (describing academic units), and Policy 6-300 (prescribing the authority of the University faculty), and Policy 6-003 (authority of faculty of colleges). And then new contents are being added to fill in gaps within the existing moved contents.

- The existing description of academic departments, free-standing divisions, and colleges (and “schools”) currently located in Policy 2-004 is being copied into 6-001 to be adjacent to related topics (and then updated and expanded to be more fully useful). To keep this current proposal of manageable size, the deleting of that content from 2-004 and some other cleanup work needed in that Policy is not being included in this current proposal. There will be a subsequent proposal for that purpose (necessary because the content ‘borrowed’ from 2-004 will now become redundant and in conflict with 6-001, and is already inaccurate).
- Two important concepts regarding the authority of various types of academic units are being explained—the *authority of a unit to offer credit bearing courses*, and the *authority of a unit to appoint members of the faculty*. (Part II-definitions.) Having those concepts explained will then be useful for the upcoming description of processes for establishing and reviewing various types of academic units (below).
- Descriptions are being added of two categories of academic units that have previously been absent from any mention in University Policies—the *interdisciplinary academic programs* (such as Ethnic Studies, Gender Studies, the Honors and LEAP programs), and *Centers, Institutes and Bureaus*. (Part III-A-1). A “placeholder” section is now being added (Part III-2) where later will be inserted detailed coverage of the processes for establishing and periodically reviewing those Centers, Institutes and Bureaus (as part of detailed description of *processes regarding establishment and review of all types of academic units*—to come in a subsequent phase of revision). Those placeholders are marked with notes as being “RESERVED” for content to be developed and added later (which of course will be done through the regular approval channels, including voting by the Senate).
- The existing descriptions of the *general authority and responsibility of the faculty for academic decision making* is being bolstered. Existing descriptions of the composition and authority of the faculty within colleges, and within the University as a whole are being preserved but moved from previously scattered locations and gathered into 6-001 (Part III-B). Oddly, the existing descriptions did not include any recognition of the responsibilities and *rights of the faculty for decision-making within individual academic departments*, and so a new description of that is being added, consistent with longstanding practices (Part III-B- 2 & -3).
- There has long been in Policy a description of *procedures which would be followed if the entire faculty of the University were to hold faculty meetings*. Unlikely as it is that such a large gathering would ever occur in modern times, given the sheer size of such a meeting, it seems wise to preserve that description of meeting procedures, ‘just in case’, and so that existing description is being preserved but moved from 6-300 into 6-002 to be near related topics. It is also being updated to conform to the prescription of voting rights of categories of

faculty which was provided for in the spring 2013 partial revision of Policy 6-300 (carrying through with the plan set forth in 6-300 that career-line faculty are newly being provided voting rights, but only consistent with the fundamental principle that the tenure-line category of faculty are to retain majority authority in academic decision making).

- Existing descriptions of the roles of committees and councils within the overall academic governance system are being preserved and gathered from scattered locations into an organized presentation, and updated to conform to modern practices (Part III-C). In that vein, as requested by its leadership during the consultation about this project, the provision for **membership of the Undergraduate Council is being updated to add a representative of the college of Social Work** (which has in recent years developed a significant undergraduate degree program), and the description of the functions of that Council in overseeing ‘general’ education are being updated to conform with current nomenclature and practices (Part III-C-3).
- The existing description of the *authority* of the Academic Senate is being preserved without significant change. However, existing passages which formerly described membership and functions of the Senate Executive Committee and the Senate’s Library Policy Committee are being deleted from 6-001, because those matters are now governed fully and exclusively by the January 2014 approved revision of Policy 6-002.
- Finally, a lengthy “policy statement” regarding the University of Utah Libraries is being removed from 6-001, where it is obviously out of place, and moved into a new home in new Policy 6-015 (see below).

### **B. Policy 6-300: The University Faculty—Categories and Ranks. Revision 17.**

The first half of this Policy was thoroughly revised in spring 2013, and that proposal included a specific commitment to return this year to make needed changes in the second half. Those needed additional changes were held over as a way to help keep the 2013 project to a manageable size. The already revised first half changed the official nomenclature used for faculty, including creating the new category and name of “career-line faculty,” and eliminated the former blanket prohibition of any voting rights for that category. The held-over changes now being addressed are primarily to take out of 6-300 coverage of topics which are out of place there, and move those contents into more appropriate Policies.

- Passages regarding the role of the “University Faculty” as a whole, including “Authority of the Faculty,” “Officers of the Faculty,” and “Meetings” and “Order of Business” for meetings of the entire University faculty are moved out of 6-300 and into 6-001 as described above.

- Passages regarding two existing University committees, the “Institutional Animal Care and Use Committee,” and Institutional Review Board for Research with Human Subjects,” are moved out of 6-300 and into a new Policy 7-100 (University Research Committees), see below (done in consultation with administrators for those committees).
- A passage regarding the authority and processes for establishing and populating various University committees is moved out of 6-300 and into 6-001 to be combined there with overlapping coverage of that same topic.
- The existing passage which establishes the Faculty Club is renumbered (Part III-K) but otherwise preserved without change (after consultation with current Club leadership who advised that no changes are needed).

**C. Policy 6-003: [renamed as] College Councils, and the University Curriculum Policy Review Board. Revision 6.**

The primary reason for including 6-003 in this project is to take from it and move to Policy 6-001, as a more appropriate location, an existing description of the authority of the faculties of each academic college within the overall system of shared governance (“jurisdiction over all questions of educational policy affecting that college”).

For efficiency (rather than having to revisit this Policy as a separate project) it also being proposed to make in 6-003 some clarifying changes regarding the process for approvals of the composition of college councils and the charters in which the composition is documented. The existing language provides that such matters are subject to the approval of the Senate Executive Committee, and that the Committee has authority to direct various functions as among the college councils and various University committees. The proposed clarifying language would make clear that in such an approval role, the Executive Committee is acting on the delegated authority of the Senate, and that it has the discretion to develop a schedule for periodic updating of council charters, and aided by the cognizant Vice President’s office may develop and provide guidance for colleges in doing such updating of the council charters. That sort of guidance has in fact been carried out in practice in recent years helping several colleges have updated their charters (e.g., most recently completed Engineering, Fine Arts, Health), and the added language would conform Policy to match current practice.

**D. [New] Policy 6-015—The University of Utah Libraries. Revision 0.**

There is existing in Policy 6-001 a lengthy description titled “University of Utah Libraries—Policy Statement for their Government and Administration.” 6-001 is not an

appropriate location for that content, and so the proposal is to remove it from 6-001 and move it into a new Policy created specifically for the purpose of receiving this moved content now. It is anticipated that in a later project contents regarding the Libraries that is now scattered around among multiple other Policies in a fragmented and confusing way will also be moved to this new Policy 6-015. Much of the content in both this passage now being moved, and in those scattered sections of other existing Policies, is outdated, otherwise inaccurate, and conflicting. Discussion is already underway with Senate leadership and Libraries representatives about a likely subsequent phase addressing those problems by consolidating into 6-015 and simultaneously updating the multiple scattered contents of the various Policies.

As the existing content is being moved from 6-001 into this 6-015, one significant change is to delete an existing description of what was formerly the Library Policy Advisory Committee, already being renamed the Senate Advisory Committee on Library Policy—because that existing description is outdated and in conflict with the recently updated description in Policy 6-002, which governs all Senate Committees.

#### **E. [New] Policy 7-100--- University Research Committees. Revision 0.**

As explained above for Policy 6-001, there is existing in 6-001 lengthy descriptions of two research-related committees, the Institutional Animal Care and Use Committee, and the Institutional Review Board for Research with Human Subjects. Those committee descriptions are out of place in 6-001, and are sufficiently important and complex that they deserve being in a separate Policy dedicated to the subject of research-related committees. So the only change for those contents in this current project is to move the descriptions all into this new Policy. However, consultation with the administrators associated with the committees has revealed that the existing descriptions are tremendously outdated and otherwise inaccurate, and that major substantive revisions are needed, and should be done soon because of expressed concerns of federal granting agencies. The committee administrators are ready and anxious to follow up this current project with another follow-up project of revising the contents, within their new home in 7-100.

#### IV. Consultations and further information:

This proposal has been under consideration and development since the first phase revisions of Policy 6-300 and 6-002 were approved in spring 2013, at which time the commitment was made to follow up with this next phase of revisions. See Senate agenda of May 2013 (<http://admin.utah.edu/wp-content/uploads/2013/05/20130506-Agenda.pdf> ). Previews of the project were given at Senate meetings in fall 2013 and again January 2014, and detailed drafts of the Policy revisions were presented to the Senate in March 2014, with feedback requested. <http://admin.utah.edu/wp-content/uploads/2014/02/20140303Agenda.pdf>

The proposal has been discussed in multiple Senate Executive Committee meetings and refined through those discussions. Because certain proposed revisions will affect the Graduate Council, Undergraduate Council, and the two research-related committees mentioned above for Policy 7-100, representatives of each of those areas have been consulted about those relevant portions of these Policies. The project has been repeatedly presented to the Institutional Policy Committee (with its representation of most administrative areas of the University, including General Counsel). Feedback received through these many presentations and consultations has been incorporated into this final proposal.

For further information-- please contact Bob Flores, as Senate Policy Liaison acting for the Executive Committee as primary researcher and draftsman for this project.  
[robert.flores@law.utah.edu](mailto:robert.flores@law.utah.edu), 581-5881.

Proposal for revising Policy 6-001 (Revision 18) (and other Policies—by moving their existing contents into 6-001, or vice-versa).

*{Draft 2014-03-28}*

**Policy 6-001: Academic Units and Academic Governance--Roles of Faculties, Committees, ~~and Councils,~~ and Academic Senate.** (Rev: 18. Effective date May 15, 2014. ~~17~~ Date: Sept. 14, 2010)

**I. Purpose and Scope** ~~(Reserved)~~

This Policy describes the types of academic units through which the academic missions of the University are carried out by its faculty and supporting personnel, prescribes processes and criteria for initially establishing, periodically reviewing and discontinuing such academic units, describes the faculties of the academic units and of the University as a whole, acknowledges the authority of the faculty for academic decision-making, describes procedures for meetings of the University faculty as a plenary body, establishes and describes a system of academic decision-making structures including various committees, the College Councils, and the Undergraduate Council and Graduate Council, and describes the general authority and responsibilities of the Academic Senate.

This Policy applies to all of the University's faculty members, all of its academic units, and all of its academic administration officers.

For related information, refer to [Policy 6-300](#), which describes the various categories and ranks of members of the faculty, including general voting rights for academic decision-making. [Policy 2-005](#) establishes general duties of the officers assigned to administer the various types of academic units. [Policy 6-002](#) governs the membership and procedures of the Academic Senate, and the membership and functions of the Senate Committees.

**II. Definitions** ~~(Reserved)~~

*Course-offering* unit—for purposes of this Policy is as defined in [Policy 6-100-II](#), (Instruction and Evaluation), “an academic unit authorized to offer credit-bearing courses and bearing primary responsibility for the content, instruction and evaluation of such courses.”

*Faculty-appointing* unit—is an academic unit authorized by the cognizant vice president to make appointments of faculty members. Such authorization may *limited* authority allowing only for appointments of faculty members in certain specified categories, or *full* authority, allowing for appointments of faculty members in all categories. The applicable categories of appointments of faculty, as more fully described in [Policy 6-300](#), are *tenure-line* (tenure-track and tenured), *career-line* (Clinical, Lecturer, Research), and *adjunct* and *visiting* faculty

positions. The authorization of a unit to make any appointment to a tenure-line faculty position includes authorization for establishing tenure for that position within that unit (See Policy 6-301, 6-311). Any unit with either limited or full faculty-appointing authorization is also authorized to hire individuals in non-faculty academic personnel positions (which positions are described in Policy 6-309).

### III. Policy

#### A. Academic Units and Academic Organizational Structure Generally

##### 1. Overview: Types of Academic Units.

*{Drafting note: the following passages in [[double brackets]] are moved here from Policy 2-004-III- Section 1. Academic Organization, and then modified as marked.}*

[[ a. As further described below, academic activities furthering the academic missions of the University are carried out primarily by the members of the University faculty, supported and assisted in various ways by non-faculty academic personnel, students, and staff employees, working cooperatively within “shared-governance” academic decision-making structures. The work of the faculty, and those assisting and supporting the faculty, is organized through various academic units, each administered by an administrative officer of the University, reporting respectively to a cognizant vice president and ultimately the President of the University. This Part III-A-1 serves as a descriptive overview of the various types of academic units and the roles of the faculty and administrative heads of such units, within the University’s overall academic organizational structure. Parts III-A-2 through 3, below, govern the processes for establishing, modifying, and periodically reviewing performance of such units. The responsibilities of the administrative heads of such units, as officers of the University (college deans, department chairpersons, and others), and the processes for periodic reviews of their performance, are governed by Policy 2-005.

##### b. Academic Departments and Free-Standing Divisions, Colleges (and schools).

i. The academic department is the standard academic unit of the University. ~~An academic department, and~~ is the most common unit of instruction. A department generally offers both undergraduate and graduate degrees. All academic departments (including those which are structured as single-department academic colleges) are authorized as course-offering units, authorized as faculty-appointing units with full authority for appointments of faculty in all categories, and authorized to conduct academic research activities.

~~Faculty are appointed to a department and may earn tenure in the department. The administrative head of a department is called a~~ has the title of

chairperson; the chairperson reports to the dean of the college to which the department belongs.

Academic units which have the authority of an academic department but are given the title of “Schools” are for all purposes treated as academic departments. Such a school is generally a large unit of instruction and should incorporate multiple areas of specialization that are reflected in the degrees offered. A school often includes interdisciplinary cooperative efforts. A school generally offers both undergraduate and graduate degrees. ~~Faculty are appointed to a school and may earn tenure in the school.~~ The administrative head of a school is usually called a has the title of director, but ~~this person's~~ the administrative level is equal to that of a department chairperson. The director reports to the dean of the college to which the school belongs.

~~and~~ Free-standing divisions are also recognized as academic course-offering units of instruction; these units and faculty-appointing units and, are governed by policies on departments unless otherwise specified. A free-standing division is generally the smallest of these academic units of instruction in terms of ~~FTE regular~~ the number of full-time equivalent tenure-line faculty positions. Such divisions may offer undergraduate and graduate degrees. ~~Faculty are appointed to such divisions and may earn tenure in the division.~~ The degree of budget autonomy for a division is decided by the college to which the division belongs. The administrative head of a free-standing division is usually called a has the title of division chairperson; the chairperson reports to the dean of the college to which the division belongs.

The designation of an academic unit as a department, school, or free-standing divisions is influenced by the mission of the unit, the relationship of the unit to the parent college, and disciplinary traditions across the country. For purposes of administration, departments, schools, and free-standing divisions are assigned to a parent academic college.

The processes for initially establishing, periodically reviewing, and when appropriate discontinuing an academic department (or equivalent unit) are governed by Part III-A-2 through-3 below.

Internal subdivisions, which are not free-standing, may also be established, typically within an academic department (including within a “single-department college” described below). They may serve various purposes, including conducting academic research, but they are not authorized as faculty-appointing units, and ordinarily will not be authorized as course-offering units.

The administrative head of such an internal division most commonly has the title of director, but may be given the title of chairperson, or chief, as determined appropriate by the cognizant vice president.

ii. An academic college is usually an administrative organization of related department-level units (free-standing divisions, departments, and schools) and those encompassing two or more such department-level units are known as “multi-department colleges.” Some academic colleges are structured such that they have no formal internal departmental-level academic subdivisions and these are known as “single-department colleges,” with the scope of the single-department and the college being coextensive. These currently consist of: (e.g. Architecture, Law, Nursing, Dentistry, and Social Work). The administrative head of an academic college is called a has the title of academic dean, and the head of a single-department college has both the responsibilities of a dean and those typical of a department chairperson (as stated in Policy 2-005-III-A-5-f) (e.g. roles in faculty appointments and faculty review processes, per Policies 6-302, 6-303, 6-310). Each dean of an academic college reports to the cognizant vice president (either the senior vice president for Academic Affairs or senior vice president for Health Sciences).

The processes for initially establishing, periodically reviewing, and when appropriate discontinuing an academic college are governed by Part III-A-2 through -3 below.

The University, for historical and other reasons, ~~contains~~ includes the following ~~two~~ units named “schools” that for all purposes function as academic colleges and are headed by academic deans: The School of Dentistry, The School of Medicine, and The David Eccles School of Business.

There are currently seventeen academic colleges: Architecture and Planning, Business, Dentistry, Education, Engineering, Fine Arts, Health, Humanities, Law, Medicine, Mines and Earth Sciences, Nursing, Pharmacy, Science, Social and Behavioral Science, and Social Work. ]]

*{Drafting note: The following passages not within [brackets] are entirely new material, not moved from any existing Policy.}*

iii. For historical and other reasons, in some instances, as authorized by the cognizant vice president, the name “college” is used to refer to a unit of the University which is not an academic college and does not have the full authority of an academic college. These currently include the “Honors College” (an interdisciplinary teaching program further described below), and the “University

College” (with student advising and related responsibilities described in [Policy 6-101](#)).

In some instances, as authorized by the cognizant vice president, the title of “dean” is used for an administrative position which is not the head of an academic college (e.g., Dean of the Graduate School, Dean of Students).

And the University includes numerous *administrative* units with the name “department” or “division” or “program” which have neither course-offering or any faculty-appointing authority.

*{Drafting note: The following description of interdisciplinary academic programs is new. This type of academic unit has existed at least since the early 1970’s, however, the classification is not currently mentioned in any University Policy. Among the more important purposes of this revising of 6-001 is to acknowledge in policy the longstanding existence and important functions of such units, and with that foundation established in official policy, to in an upcoming project also add to this Policy a description of how such units are created and periodically reviewed. This regularization of the process for approval and review of such Programs is especially important because it is anticipated that when new sections of the Policy are added to govern the unit establishment process, they will include a principle requiring that, any academic unit (other than an academic department) which seeks to be authorized as a course-offering unit must meet qualifications as an interdisciplinary teaching program. The “shared-appointment” concept explained here has also existed at least since the 1970’s, but is not currently mentioned in any University Policy, which may be a cause of frequent misunderstanding about that concept, with some persons erroneously thinking that faculty members involved in such arrangements have “joint appointment” status. Adding the description of the shared-appointment concept here should help eliminate such confusion and misunderstanding. }*

c. [\[\[Interdisciplinary Academic Programs \(of limited authority\)\]\]](#).

In specific circumstances in which academic activities to be conducted are of an interdisciplinary character such that they cannot be effectively conducted either entirely within the ordinary structure of a single academic department (or equivalent unit) within an academic college, or entirely through cooperative arrangements among academic departments or colleges, a special *interdisciplinary academic program* may be established for that purpose, with the following limited authority.

Such units ordinarily may conduct academic research. As determined appropriate by the cognizant vice president, and subject to the establishment, modification, and periodic review procedures described below, such a program may be authorized as a *course-offering unit*, and if so authorized, the program may hire and assign non-faculty academic personnel (see [Policy 6-309](#)) to teach such courses.

Such units are *not fully-authorized* faculty appointing units. Under the terms of a specific formal agreement made between the program and another cooperating academic unit which has faculty appointing authority (ordinarily an academic department) and approved by the cognizant vice president, such a program may be granted limited

authority to participate in a “shared-appointment” agreement, through which some portion of the work (described in the agreement as a percentage of full-time equivalent) of a faculty member whose formal faculty appointment is in that cooperating academic unit, is shared with the academic program. (This differs from a “joint appointment” status in which a faculty member has two separate appointments made directly in each of two fully authorized faculty-appointing units, per [Policy 6-319](#)).

Such a course-offering program may also be given *limited* authority to make direct appointments of instructional faculty (ordinarily in the Lecturer career-line category only) directly within the program, if approved as a Qualified Interdisciplinary Teaching Program (through the process governed by University [Rule 6-310](#), which requires case-by-case approval of such Qualified status by the Academic Senate and cognizant vice president).

The names of and administrative reporting structures for such interdisciplinary programs, may vary, as appropriate for their interdisciplinary character and selected functions. They are ordinarily called “program,” but some are given other names. The administrative head ordinarily has the title of director, but other titles may be used. They may be assigned to report directly to an academic dean or directly to an associate vice president (who for purposes related to the program’s offering of courses takes on some functions of a dean), and ultimately to the cognizant vice president.

The processes for initially establishing, periodically reviewing, and when appropriate discontinuing an interdisciplinary academic program are governed by Part III-A-2 through-3 below.

Currently the interdisciplinary academic programs which have been authorized as *course-offering* units are: The Entertainment Arts and Engineering Program, The Environmental and Sustainability Studies Program, The Ethnic Studies Program, The Gender Studies Program, The Honors College, The LEAP Program, and the Middle East Center. Those which have also been granted limited faculty appointing authority under the terms of University [Rule 6-310](#) are listed within that Rule.

*{Note that the University Writing Program, which has long been included among these special authorized programs is not being listed here because it is now being transitioned to status of a fully authorized academic department within the College of Humanities, and so its status as an “Interdisciplinary Academic Program” for purposes of this Policy will cease. Rule 6-310 is being revised to remove it from the list of Qualified IDT Programs.}*

*{Drafting note: The following passage in [\[\[double brackets\]\]](#) regarding the Libraries, is **moved here from [Policy 2-004](#)** and then modified as marked. And note further below that the lengthy explanation regarding the libraries that formerly appeared as par of this Policy 6-001 is being removed and moved to become part of new Policy 6-015: The University Libraries. }*

[[d. The University of Utah Libraries. The University of Utah Libraries shall consist of the following units, each headed by its director (or equivalent position): (i) the Marriott Library and its branches reporting directly to the senior vice president for academic affairs, (ii) the Eccles Health Science Library reporting directly to the senior vice president for health sciences and, (iii) the S. J. Quinney Law Library in the college of law reporting directly to the dean of the college of law and ultimately to the senior vice president for academic affairs. Pursuant to this reporting structure, the libraries are administratively independent of one another, but participate in cooperative activities, including participating in and being advised by the Senate Advisory Committee on Library Policy (as described in Policy 6-002).]]

The libraries are not ordinarily authorized as course-offering units.

Each library is a fully authorized faculty-appointing unit, for appointing to positions within the categories of faculty of the libraries as are described in Policy 6-300.

Further information regarding the structure and functions of the libraries is provided in Policy 6-015—The University of Utah Libraries. *{Drafting note: Policy 6-015 is a new Policy, being created to receive certain contents with detailed information about the libraries which is being moved out of Policy 6-001. It will become the main policy regarding the libraries. There are also several other existing policies regarding the libraries, with much of their contents being outdated and no longer accurate, and it is anticipated that a project will be underway to update and otherwise revise those policies within the 2014-2015 year. Also there has been some very preliminary discussion of the possibility that one or more of the libraries might eventually seek authorization to offer credit-bearing courses. The phrasing used above regarding the authority of the libraries allows for the possibility of that future change of authorization, while still accurately describing the current and longstanding status—by stating that “ordinarily” they do not have such authority—such that an exception might be authorized by the cognizant vice president, upon establishment of the requisite capabilities of carrying out all of the functions that are required of any course-offering unit, per requirements later to be described in Part III-A-2 below.}*

#### e. Other Academic Units (Centers, Institutes, and Bureaus).

i. In addition to the academic departments (the primary type of unit, authorized to conduct all types of academic activities), the interdisciplinary academic programs, and the libraries, as are described here in Part III-A, the University authorizes certain types of academic activities to be conducted through other types of units, ordinarily including academic centers, academic institutes, and academic bureaus (hereafter “C/I/B”).

ii. These academic C/I/B types of units typically are authorized by the cognizant vice president to conduct academic research activities. They are not authorized faculty appointing units, as they do not have authority to directly appoint any faculty of any category, but through specific formal agreements approved by the cognizant vice president may be authorized to engage in

“shared-appointment” arrangements sharing the work of faculty members whose appointments are made directly in a cooperating academic unit (similar to the arrangements described above for interdisciplinary programs). Any direct faculty appointing authority may only be extended to such a C/I/B unit through the process of approval of the unit as a Qualified Interdisciplinary Teaching Program per Rule 6-310.

These C/I/B types of units are ordinarily not authorized as course-offering units, and ordinarily they participate in course activities only through an arrangement in which a course with which the unit has some association is formally offered through and administered by an academic department (or other authorized course-offering unit). Such a C/I/B unit may only gain authorization to directly offer credit-bearing courses by obtaining status as an approved interdisciplinary academic program of the type described in Part III-A-1-c above, which includes obtaining approval as a course-offering unit through the process described in Part III-A-2 below.

iii. Further information regarding C/I/B units. [Reserved]

[User note: as of 2014, a project is underway to clarify and improve the University’s regulations and processes regarding C/I/B types of units. A task force is examining existing regulations and systems for establishing, periodically reviewing, and discontinuing these types of units. It is anticipated that one product of the project will be further details to be added here to this Part III-A-1-e as well as adding content to A-2 below, to be accomplished by another formal revision of Policy 6-001. For further information, contact the VP Office for Faculty and/or the Graduate School.]

*{Drafting note: The work of the C/I/B task force likely will not be entirely completed before the end of the Academic Senate’s spring 2014 schedule, and in order to ensure that the treatment of those units here within Policy 6-001 is accurate and thorough, it seems wise to use this strategy of “reserving” a place within 6-001 to subsequently add further explanation, and this “user note” will alert readers that a project for development of the additional information is underway. }*

f. Updating Lists and Names of Units.

The lists and specific names of existing academic units and titles of administrative positions in current usage appearing above in Part III-A-1 of this Policy may be updated whenever needed by authorization of the cognizant vice president presented to the Chairperson of the Institutional Policy Committee.

## **2. Creation, Review, and Discontinuance of Academic Units**

*{Drafting note: this following bracketed passage is moved from Policy 2-004.}*

a. *[[Proposals to create, modify, or delete academic units are considered first by the Graduate Council, then by the Academic Senate, then by the Board of Trustees.]]*

**b. Further information regarding creation, significant modification, review, and discontinuance of academic units. [Reserved.]**

**[User note: As of 2014 a project is underway to develop additional detailed content for University Regulations regarding the procedures and standards for creation and significant modification of academic units, for their periodic review, and for their discontinuance.** Existing practices for creation and periodic reviews of academic departments and interdisciplinary programs (including reviews overseen by the Graduate and/or Undergraduate Council) will be better described in Policy. A significant portion of the new content will focus on Centers, Institutes, and Bureaus, and a task force has been assembled to work on that topic. The project will include further revising of these Parts III-A-2 & -3 of Policy 6-001. The added content will include these topic areas: (i) Procedures for creation or significant modification of academic units; (ii) Principles for creation of academic departments, and other course-offering academic units; (iii) Principles for creation of other academic units (not course-offering); (iv) Naming or renaming of academic units (functional or honorary names, primarily referring over to existing content of [Policy 9-001](#) “Naming of University Facilities and Programs.”) (v) Procedures and principles for periodic reviews of various types of academic units, and (vi) Procedures and principles for discontinuance of academic units (including reference over to existing [Policy 6-313](#)--“Terminations and Program Discontinuance”). **For further information, contact the VP Office for Faculty and/or the Graduate School.]**

*{Drafting note: A significant portion of the content to be placed here will focus on the systems for creation and review of Centers, Institutes and Bureaus, and the task force involved with developing that particular new content for this Part likely will not conclude its work before the end of the Senate’s schedule for spring 2014, and so the further revision of this Part will most likely be ready for Senate attention in fall 2014.}*

### **~~B. A. Faculties of the University--Composition and Authority of the University Faculty.~~**

*{Drafting note: the following passages regarding the composition and authority of faculties are existing passages within Policy 6-001-III, here expanded upon and otherwise modified as marked to provide a more comprehensive description of the organizational structure of faculties. }*

#### **1. Composition of faculties.**

**a. To carry out their individual and collective responsibilities as the primary academic workforce of the University, the individuals holding faculty appointments (as defined in [Policy 6-300](#)) within the University are organized into various *faculties* (groups). For faculty members appointed to academic departments, each individual is at minimum a member of (a) the faculty of the academic department in which his/her primary faculty appointment is made, (b) the faculty of the college in which the**

department is situated, and (c) the faculty of the University overall. For faculty members appointed to one of the libraries, each individual is a member of the particular library faculty, and the faculty of the University. For faculty members appointed directly in one of the interdisciplinary academic programs (see Part III-A-1-c above), each individual is a member of the faculty of that program, and the faculty of the University. When an individual holds two *joint* appointments to two academic departments (Policy 6-319), or a *shared* appointment to a department and an interdisciplinary program, or a center, institute, or bureau (Part III-A-1-c, and-e above), or both a primary appointment in one unit and any *adjunct* appointment in any other faculty-appointing unit, the individual is a member of the faculties of those multiple units.

b. Within each of the faculties of which they are a member, each individual has the responsibilities and rights of a faculty member, as described in the Code of Faculty Rights and Responsibilities—Policy 6-316, and the voting rights for each category of faculty are as provided in Policy 6-300-III supplemented by the Statement applicable for career-line faculty of a particular academic unit pursuant to Policy 6-310. (And see Policy 6-010-III, regarding academic grievances related to duties and rights for participation by faculty members in departmental, collegial and University governance.)

## **2. Faculties of Academic Departments, Academic Colleges, University Libraries, and other Academic Units.**

a. Department (and similar unit) faculties. For each authorized faculty-appointing unit, or appointment-sharing unit (academic department/ freestanding division, academic library, interdisciplinary academic program, or center/ institute/ or bureau), the individuals with direct and/or shared faculty appointments in that unit collectively constitute the faculty of that unit.

~~D. Composition and Authority of School and~~ b. College faculties. An academic school or college faculty shall consist of the dean of the school or college and such members of the ~~staffs of~~ departments and freestanding divisions, and any other academic units within the college pursuing research or offering a major, a teaching major, or prescribed work in the school or college as are eligible to membership in the University faculty (as defined in Policy 6-300). The University President shall be a nonvoting ex officio member of all school and college faculties. If a department (or other academic unit) serves more than one school or college, the department chairperson may designate a ~~staff~~ member to represent the department at meetings of the faculties of schools or colleges other than that to which the department is assigned for administrative purposes without abrogating the right of other members of the department to participate and vote in the meetings of such faculties.

c. Faculty governance-equivalent committees for non-appointing units. For academic units which do not directly appoint faculty, but through which substantial academic activities are carried out by affiliated faculty members (e.g., centers, institutes, bureaus, and other programs), special-purpose academic governance committees are established and assigned responsibilities approximating as nearly as practically possible

the roles of faculties in governance of academic departments and colleges (e.g., decision-making power on curricular matters, in keeping with the principles in Part III-B-3 below). Such committees are comprised with a majority of voting-qualified members of the University faculty.

### 3. Authority of the Faculties, and Procedures for Actions of the University Faculty as a Whole (Plenary).

#### a. Authority of Faculties of Academic Departments, Colleges, and other Academic Units.

*{Drafting note: the following passages in [[brackets]] are existing content of Policy 6-003 being moved here to 6-001 and modified as marked}.*

~~[[School and College Faculties.~~

~~Each school and college f~~The faculty of each academic department, academic college, or other academic unit, shall have, subject to the approval of the Academic Senate and appeal to the University faculty, jurisdiction over all questions of educational policy affecting that ~~school or college~~academic unit, including requirements for entrance, graduation, and major, and prescribed subjects of study.

Majors shall be authorized by the ~~school or~~ college faculty concerned, but the content of the major shall be determined by the department or departments in which it is given. Majors and their content shall be subject to the review of the Academic Senate in accord with ~~Policy 6-001, Section 4~~ Part III-D of this Policy.

A statement of the action taken upon educational policy by any ~~school or college~~ academic unit faculty shall be presented at the next regular meeting of the Academic Senate for consideration and action thereon.]]

*{Drafting note: the following passages are existing content of both Policy 6-001 and Policy 6-300, combined and being modified as marked, for purposes of merging the overlapping existing contents of the two Policies, and for updating to conform to changes in nomenclature of faculty previously made in 6-300 and updating consistent with modern practices. The overlapping treatment of topics in existing 6-100 and 6-300 is an odd relic of the pre-2008 history of there being two separate systems of University Regulations and Faculty Regulations, with certain topics redundantly treated in each system. The dual objectives of this proposal are to merge and simultaneously update those overlapping contents, into a single cohesive treatment of the topics. They describe the principles of the authority of the University Faculty for academic decision-making, and they provide detailed procedures for meetings & actions of the University Faculty as a Whole. Those descriptions of procedures were developed in an historical era in which it was practical to have gatherings of the entire voting faculty (which would at that time have been limited to regular—tenure-line faculty). Although such meetings of the entire faculty are now unlikely to occur frequently (if at all—given the modern size of the faculty), the description of procedures should remain in Policy nevertheless, so that clear procedures are in place in case ever needed.}*

~~6-300 III-F.~~

b. Authority of the University Faculty.

The University faculty shall have authority, subject to the approval of the Board of Trustees, to legislate on matters of educational policy, to enact such rules and regulations as it may deem desirable to promote or enforce such policies, and to decide upon curricula and new courses of study involving relations between schools and colleges or departments. The faculty has a right to a meaningful role in the governance of the University including primary responsibility for course content and materials, degree requirements and curriculum; it has a right to participate in decisions relating to the general academic operations of the university including budget decisions and administrative appointments.

“Substantial alterations in the scope of existing institutional operations... the establishment of a branch, extension center, college, professional school, division, institute, department or a new program in instruction, research, or public services, or a new degree, diploma, or certificate,” shall not be made without prior approval of the State Board of Regents. [Utah Code Ann. 53B-16-102](#)~~(4)~~ (1994~~2009~~).

The legislative power of the University faculty collectively will normally be exercised by the faculty through their representatives in the Academic Senate and the college ~~or area~~ and Graduate and Undergraduate councils, except that the ~~voting~~ members of the University faculty with voting rights (determined as described in [Policy 6-300-III, including majority role of the tenure-line faculty](#)) shall have the appellate power to review all actions affecting educational policy including legislation enacted by the Academic Senate, whenever an appeal is made from the Senate to the faculty as hereinafter provided.

The authority of the faculty and of the Academic Senate is based on state law, the regulations of the State Board of Regents, and regulations promulgated by the University president and approved by the Board of Trustees. Whatever in this document is in conflict with these is of no effect. [Utah Code Ann. 53B-1-101](#) et seq. (1994~~2011~~).

~~The University faculty shall have power subject to the authority of the State Board of Regents, and the university president and Board of Trustees to legislate on matters of educational policy, to enact such rules and regulations as it may deem desirable to promote or enforce such policies, and to decide upon curricula and new courses of study involving relations between schools and colleges. The faculty will normally exercise this power through its representative, the Academic Senate. The faculty shall, however, have the appellate power to review all actions affecting educational policy, including legislation enacted by the Academic Senate, whenever an appeal is made from the Senate to the faculty as hereinafter provided.~~

~~The faculty has a right to a meaningful role in the governance of the University, including primary responsibility for course content and materials, degree requirements~~

~~and curriculum; it has a right to participate in decisions relating to the general academic operations of the University, including budget decisions and administrative appointments.~~

In all matters, except those granted to the Academic Senate, the faculty shall have original jurisdiction. Whenever the faculty is acting within its province as here designated, its actions shall be effective without approval unless they involve an increase in the expense of instruction or administration. Whenever such an increase is involved, whether by action of the University faculty, the Academic Senate, or a school or college faculty, the University president shall report the action to the Board of Trustees with the University president's recommendations. ~~(See Policy 6-001, University Regulations, Section 1.)~~

#### c. Members and Officers of the University Faculty.

The University faculty shall consist of the University President, vice presidents, deans, directors of libraries, and the categories of faculty described in Policy 6-300, ~~professors (including distinguished presidential and university professors), associate professors, assistant professors, instructors, librarians, associate librarians, and assistant librarians. All shall have the full rights of faculty members except that persons holding adjunct, clinical, research, visiting, lecturer, or emeritus appointments shall not have the right to vote. At the discretion of the university president, academic personnel holding non-faculty appointments may be afforded faculty privileges other than the right to vote.~~

The President of the University is the chairperson of the faculty. In the University President's absence, the vice president for academic affairs shall preside. The faculty shall have a secretary, who need not be a member of the faculty, appointed by the president at the beginning of each autumn semester for the academic year. The secretary shall be an ex officio member of the Academic Senate. The secretary shall record all action of the faculty and the Academic Senate and preserve all records in a form convenient for reference.

#### ~~6-300 II H.~~

#### d. University Faculty Meetings Procedures.

Regular quarterly meetings may be held at a time decided upon by the faculty. Special meetings of the faculty may be held at any time and may be called by the University President or the Academic Senate. Special meetings for the consideration of specified agenda shall also be called by the University President on the written petition of at least five percent of the voting faculty. The vice president for academic affairs shall announce the number of total voting faculty at the beginning of each academic year. To insure a wide distribution of faculty sentiment, not more than one-half of the signatures presented on such a petition shall be counted from any college or school. No action pertaining to any department shall be considered at a special meeting unless the chairperson of the department has been duly notified.

Any number over ten percent of the voting faculty shall constitute a forum for discussion, but no vote shall be binding with less than fifty percent of the tenure-line voting faculty in attendance and with the support of less than a majority of those tenure-line faculty in attendance (in keeping with the “primary role” principle of Policy 6-300-III-B-2).

Nonfaculty members of the Academic Senate shall have the right to attend all meetings of the faculty. On the invitation of the University President, persons holding teaching and research positions not defined in [~~Section 2 of this policy~~ Policy 6-300] as members of the faculty may attend meetings of the faculty and may participate in the discussion of any or all questions. Nonmembers of the voting faculty, as this is described in [~~Section 1 of the chapter~~ Policy 6-300], may neither vote nor introduce formal motions in faculty meetings.

Every member of the faculty shall have free and equal voice in its deliberations. Should the faculty be equally divided on any question, the University President shall have one vote in addition to one vote as a member of the faculty.

The agenda for special as well as general faculty meetings shall be announced to faculty members and all others authorized to attend or invited to the meeting at least one week in advance of the meeting. In case of emergency the University President may waive this time restriction.

~~6-300-III-I.~~

e. University Faculty Meetings Order of Business.

Roll call, when requested by the University President  
Announcements and communications  
Reports from the officers of administration, ~~school and college~~ and Graduate and Undergraduate councils, and committees  
Unfinished business  
New business  
Adjournment ]] *{Drafting note: end of passages being moved here from 6-300 regarding the University Faculty plenary.}*

C. Academic Governance Committees and Councils.

1. Committees and Councils of Academic Departments, Academic Colleges, University Libraries, other Academic Units.

a. Committees within Academic Departments (and Similar Units).

Each academic department and other academic unit shall establish such committees as appropriate to carry out the academic functions of the unit and as required by pertinent University Regulations. For authorized *course-offering* units these may include curriculum oversight committees, and for *faculty-appointing* units these shall include faculty appointments committees (per [Policy 6-302](#)), and include faculty review committees (per Policies [6-303](#) and [6-310](#)). Such committees shall be composed in keeping with the fundamental principle of the authority of the faculty of the unit over academic matters.

b. College Councils and Committees within Academic Colleges.

College councils. ~~[6-001-III-D]~~In accord with [\[Policy 6-003\]](#) college ~~or area~~ councils shall be are created by the academic colleges of the University with compositions defined by the colleges involved and described in council charters, which compositions and charters are, subject to the approval of the Senate Executive Committee and subsequently submitted for the Information of the Senate. College ~~or area~~ councils may include councils serving more than one college where appropriate. Such councils shall have decision-making authority, as stated in ~~Faculty Regulations~~ [\[Policy 6-003\]](#), subject to review by the Executive Committee of the Academic Senate and subject to the power of the Academic Senate to legislate on matters of general University concern.

College committees. Academic colleges shall establish such standing committees as are appropriate to carry out the academic functions of the colleges and as required by [Policy 6-003](#) and other pertinent University Regulations, and these standing committees shall be described in the charters of the councils.

c. Committees within Other Academic Units (Interdisciplinary Academic Programs; Centers, Institutes and Bureaus). [\[Reserved\]](#) *{Drafting note: In the planned subsequent phase, appropriate content will be proposed to be added here, based on the work of the Task Force which is developing a system with procedures and principles for creating and reviewing the C/I/B types of units. The principles will include assurances of faculty control over academic decision-making within such units, especially on curriculum.}*

~~B. Composition and Authority of the Academic Senate. {Lengthy contents are moved to below.}~~

~~€ 2. Committees of the University--Composition and Authority. of University Committees~~

a. University Committees (other than Committees of the Academic Senate).

The University President shall appoint, before the opening of the academic year, such standing committees as the work of the University may require. Special committees may be appointed at any time as the University President may deem wise, which shall report to the ~~faculty~~ Academic Senate, or to the appropriate council, or to the University President the progress of their work and their recommendations.

The University President ~~or Administration or Academic Senate~~ will notify the Senate Personnel and Elections Committee (a standing committee of the Academic Senate) about the creation of any University-wide standing committees. Upon the creation or reorganizing of a University-wide standing committee, the Senate Personnel and Elections Committee will review the committee charter and membership requirements, and shall make any requested nominations, and subsequently shall make requested nominations for the replacement of members as needed. (See Policy 6-002-III-D-1-c- “Functions of SPEC”).

Committees of the faculty ~~and of the Academic Senate~~ shall act only within the limits set for them.

*{drafting note: the following passage in [[double brackets]] is moved to here from 6-300 and modified as marked.}*

~~[[6-300 J. Committees of the Faculty~~

~~The University President shall appoint, before the opening of the academic year, upon nomination by the Senate Personnel and Elections Committee, such other standing committees as the work of the University may require.~~

~~Special committees may be appointed at any time by the faculty or the University President. The University President shall be an ex officio member of all committees of the faculty and of the Academic Senate.~~

Faculty committees, other than Academic Senate committees, must report to the faculty the progress of their work and any action taken and shall act only within the limitations placed upon them. ]]

b. Academic Senate Committees. *{Drafting note. This existing lengthy section of 6-001 describing Senate committees is changed to simply refer to the recently revised 6-002, which now exclusively governs the structure and functions of the Senate committees.}*

Standing and special committees of the Academic Senate are established under and governed by the terms of [Policy 6-002](#).

~~The Academic Senate shall establish an Executive Committee to include the following voting members: ten faculty members elected annually from the Senate's elected membership to serve one year, the ASUU president, a graduate and an undergraduate representative from the student Academic Senators, one of whom shall be the Student Senate Chair and the other of whom shall be selected by the Student Senate; and the President of the Academic Senate. The President of the Academic Senate shall chair the committee but shall vote only when necessary to prevent an equal division of the committee. The ex officio, non-voting members will include the university president, the vice president for academic affairs and the vice president for health sciences or their designees, the president elect of the Academic Senate, and the past president of the Academic Senate.~~

~~\_\_\_\_\_ The Executive Committee shall screen and review matters for the Academic Senate and perform other functions as assigned to it by Regulations or by action of the Academic Senate. (See Policy 6-300, et. seq., Faculty Regulations.)~~

~~The Executive Committee is empowered to receive confidential committee reports indicating a serious concern about the systemic operation of a program, department or college, and to request further supporting information from any committee so empowered to report. If the Executive Committee concludes that there is a serious concern about the systemic operation of a program, department or college, it shall bring this to the attention of the cognizant vice president and provide supporting information. The cognizant vice president shall acknowledge receiving the report and in a timely fashion inform the Executive Committee and the originating committee what steps are being taken to investigate or resolve the concerns and, subsequently, inform both committees of the outcome of the investigation and of any resolution achieved.~~

~~The Academic Senate shall elect annually members of the following committees from faculty members other than ex-officio members of the Senate and the Executive Committee of the Senate: Academic Freedom and Faculty Rights Committee, Academic Policy Advisory Committee, Annuities and Salaries Committee, Faculty Budget and Planning Advisory Committee, Consolidated Hearing Committee, Library Policy Advisory Committee, Personnel and Elections Committee, University RPT Standards Committee, University Diversity Committee, and such other committees determined by the Senate to be needed to serve the interests of the university.~~

~~\_\_\_\_\_ Vacancies in faculty positions on elected committees shall be filled either by the runner-up from the original elections or by special election by the Senate. (See Policy 6-003, Faculty Regulations.)~~

#### ~~D. Composition and Authority of School and College Faculties~~

##### 3. Councils of the University—Graduate, Undergraduate, Academic Deans.

a. In addition to the system of college councils (Part III-C-1 above), there are three University-wide councils: The Graduate Council, the Undergraduate Council, and the Council of Academic Deans.

##### ~~E. b. Graduate Council--Composition and Authority of Graduate Council.~~

~~The Graduate Council is hereby established within the system of academic governance of the University. As more fully described in [Policy 6-200](#), the Council supervises graduate study at the University of Utah, and reviews and evaluates proposals for new graduate degrees and certificates, or name changes or major revisions. However, the administration of professional degrees may be delegated by the Graduate Council to colleges, schools, or departments. The Council is responsible for the review and evaluation of all existing departments and programs that award graduate and undergraduate degrees and certificates. The *Undergraduate Council* participates with the Graduate Council in the review of undergraduate programs based in departments awarding graduate degrees. The Graduate Council also reviews and evaluates proposals for new graduate degrees and certificates, academic administrative units (e.g., departments, divisions); centers, institutes and bureaus, and proposals for name changes or major revisions of the preceding, through the processes described above in Part III-A-2 (“Creation, Review, and Discontinuance of Academic Units”). It assumes other~~

responsibilities as established by University Regulations or Board of Regents Policy.

*{Drafting note: the above passage is nearly identical in both 6-001 and 6-200 and eventually that duplication should be dealt with by deleting at least some of it from 6-200, which would leave 6-001 as controlling the structure of the Grad Council, and 6-200 as governing the process of approval of graduate degrees, etc., and not purporting to redundantly address the responsibilities of reviewing proposals for new/changed academic units.}*

The Graduate Council members shall be appointed by the University President on recommendation of the dean of the Graduate School. Nominations of faculty members will be made by College Councils for communication by the college dean to the dean of the Graduate School. Nominations of student members will be made by the Associated Students of the University of Utah (ASUU) for communication by the ASUU president to the dean of the Graduate School. Faculty members on the Council shall represent all ~~schools and~~ colleges offering degrees under the jurisdiction of the Graduate Council. Student membership shall be limited to three members, two graduate and one undergraduate, broadly representative of the ~~schools and~~ colleges of the University.

The Graduate Council shall establish policies and procedures for the Graduate School, such policies and procedures being subject to review by the Academic Senate ~~as specified in Faculty Regulations~~.

F. c. Undergraduate Council--Composition and Authority. *{Drafting note: The descriptions of the structure and functions of the Undergrad Council are being substantively modified to conform with current circumstances and practices. The changes include adding to the Council representation from the college of Social Work, which now offers an undergraduate degree, and all interested parties have been consulted and agreed to that membership change. The modern nomenclature of "General Education and Baccalaureate Degree requirements" replace the old "general-liberal" education nomenclature, and the former details about those general ed requirements, and the committee structures which oversee them, are eliminated from this Policy so that such matters are left to be governed by Policy 6-101 which has become the main Policy for governing undergraduate curriculum matters. }*

The Undergraduate Council is hereby established within the system of academic governance of the University. The Council consists of one *elected* faculty representative from each academic college offering undergraduate degrees and making a significant contribution to undergraduate education across the campus (currently including [listed here only for convenience and subject to change by authority of the cognizant vice president as needed without formal revision of this Policy] --Architecture and Planning, Business, Education, Engineering, Fine Arts, Health, Humanities, Mines & Earth Science, Nursing, Science, ~~and~~ Social and Behavioral Science, and Social Work), a second elected representative from three colleges (Humanities, Science, and Social and Behavioral Science), one elected representative from the University Libraries, one elected representative from the "Honors College interdisciplinary program," and an *appointed* representative of other interdisciplinary programs and three undergraduate students each representing a different college and recommended by

ASUU, two of which shall come from the Student Senate. Elected members of the Undergraduate Council shall serve for three-year terms. Ex-officio non-voting members shall come from: Enrollment Management (Student Affairs), the Academic Outreach and Continuing Education, ~~University College Academic Advising~~, the Graduate School, University Professor(s), and administrators in Undergraduate Studies; other ex officio non-voting members may be added as deemed necessary by the Associate Academic Vice President for Undergraduate Studies. The Associate Academic Vice President for Undergraduate Studies or a person so designated by that office shall chair the Council. The Council shall report directly to the office of the Senior Vice President for Academic Affairs through the Associate Academic Vice President for Academic Affairs, and the academic policies and procedures recommended by the Council shall be subject to approval through the regular governance process including the Academic Senate.

The Undergraduate Council is charged with the responsibility: (1) to coordinate and encourage the development of undergraduate studies across the University and (2) to oversee all University-wide undergraduate requirements. The Associate Academic Vice President for Undergraduate Studies and Council shall have the responsibility of establishing and maintaining ~~a program of general/liberal education and of other general requirements~~ General Education and Baccalaureate Degree requirements in accord with [Policy 6-101--Undergraduate Study and Degrees](#), in cooperation with the academic departments and colleges. It shall be the responsibility of the Associate Academic Vice President for Undergraduate Studies to insure quality in the instruction and in the content of the courses meeting ~~general/liberal education and other~~ those requirements through periodic review of ~~teachers and of curriculum. All students will undertake work in all of the four areas of liberal education—physical and life science, social science, humanities, and fine arts.~~ To facilitate ~~proposals from the areas~~ such review, the Associate Academic Vice President for Undergraduate Studies will appoint representative ~~area~~ faculty committees. ~~Committees establishing policy and reviewing course proposals for other general undergraduate requirements (e.g., Diversity, Writing) which~~ will report to the Undergraduate Council for approval. The Council is responsible for reviewing and evaluating proposals for new undergraduate programs as well as proposed deletions ~~or significant revisions~~ of undergraduate programs and degrees by colleges and departments. It assumes other responsibilities as established by [Policy 6-101](#), and other pertinent University Regulations or Board of Regents policy. In addition, the Council is responsible for reviewing and evaluating all undergraduate degrees and programs that are not located in departments with graduate degrees. The Undergraduate Council also participates with the Graduate Council in the review and evaluation of undergraduate programs based in departments awarding graduate degrees (see Part III-C-3-b above, ~~Section 5 of this policy~~ and [Policy 6-200-III-Section 1](#)).

d. Council of Academic Deans. The Council of Academic Deans is established and governed by [Policy 2-004](#). Its composition and functions are as determined by the

cognizant vice president. Duties of the deans as officers of the University are governed by Policy 2-005. {Drafting note: This content is kept very minimal, because as a council of University officers reporting to the VP's, the structure and functions of this council must be left to the discretion of the President and VP's, to be modified as needed without requiring Senate approval of changes inscribed in this Policy. Currently 2-004 is the only coverage of this topic, and simply provides that "The following faculties and councils are hereby established in the University of Utah: ... the Council of Academic Deans ... "} }

**D. Authority of The Academic Senate.** { Drafting note: the most significant revision here is to delete existing portions purporting to describe the composition of the Senate and two Senate committees— a descriptive task which has now been taken over exclusively by newly revised 6-002. }

~~B. Composition and Authority of the Academic Senate~~

~~There shall be an~~ The Academic Senate ("Senate") is constituted as provided in and governed by ~~the Faculty Regulations~~ Policy 6-002.

The ~~Academic~~ Senate shall have the power to act for the University faculty in all matters of educational policy, including requirements for admissions, degrees, diplomas, certificates, and curricular matters involving relations between ~~schools and~~ colleges or departments. Within this province the action of the Senate shall be effective without approval, subject to the appellate power of the University faculty. Matters of educational policy coming before the Senate for action should, as a matter of course, be evaluated as to any additional expenses involved (e.g., library support costs for new programs) and proposed sources of revenue.

The ~~Academic~~ Senate shall also have the following powers:

1. to receive and consider reports from all faculty committees, councils, departments, divisions, ~~administrative officers, schools,~~ colleges, faculties and libraries, and other academic units, and administrative officers, and to take appropriate action thereon within the scope of this authority;
2. to consider matters of professional interest and faculty welfare and make recommendations to the University President and other administrative officers concerned;
3. to propose to the Board of Trustees amendments or additions to the University Regulations for the government of the University (through the process and under the terms of authority described in Policy 1-001 and Rule 1-001).

In accord with the faculty appointments procedures of Policy 6-302 the University President shall inform the ~~Academic~~ Senate of proposed appointments and promotions of faculty members and shall recommend these appointments and

promotions to the Board of Trustees at its next meeting unless there is objection to any of these recommendations by a majority of the Senate quorum. Objections shall be referred to the Executive Committee of the Senate for investigation and the report of the Executive Committee shall be transmitted by the University President to the Board of Trustees.

Pursuant to [Policy 6-307](#), the University President shall also inform the ~~Academic~~ Senate of all faculty resignations. ~~A,~~ any faculty member shall have the right to request the review of any resignation. ~~E,~~ and each request for such a review must be referred to the Senate Committee on Academic Freedom and Faculty Rights Committee for proceedings as described in [[Policies 6-307 and 6-010](#) ~~6-302, Sec.6~~].

The University president may refer to the Senate any matter upon which the University president feels it would be useful to have the advice of that body. When such matters pertain to academic freedom or faculty rights, the Senate shall refer them to the Senate Committee on Academic Freedom and Faculty Rights Committee for study and report back to the Senate and University president. The University president may also appoint an ad hoc committee of faculty members and others when appropriate to advise the University president when a question arises concerning the competence or conduct of a staff or faculty member in a given department.

### **~~G. University of Utah Libraries – Policy Statement for Their Government and Administration.~~**

- ~~1. Administrative Units in the University Library System. {\*\*\* lengthy contents not shown here}~~
- ~~2. The Marriott Library Collections. {\*\*\*}~~
- ~~3. "Area Collections" in Marriott Library. {\*\*\*}~~
- ~~4. Departmental or Branch Libraries. {\*\*\*}~~
- ~~5. Library Policy Advisory Committee {\*\*\*}~~
- ~~6. The Director of Libraries. {\*\*\*}~~
- ~~7. Duties of the Director. {\*\*\*}~~
- ~~8. Changes in Instructional and Research Programs Affecting the Library. {\*\*\*}~~
- ~~9. University Archives. {\*\*\*}~~

*{Drafting note: The existing lengthy contents about the University Libraries are being moved out of 6-001, into new Policy 6-015 (newly created for the purpose of initially receiving these contents moved from 6-001, and then in a later revision phase for consolidating there the contents of various policies regarding the libraries). The contents are not shown here due to their length, and may be seen in their entirety in the accompanying draft of 6-015.}*

*Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information - the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.*

#### IV. Rules, Procedures, Guidelines, Forms and other related resources.

- A. Rules [reserved]
- B. Procedures [reserved]
- C. Guidelines
- D. Forms [reserved]
- E. Other related resource materials [reserved]

#### V. References:

[Utah Code Ann. 53B-16-102\(4\) \(1994-2009\)](#)  
[Policy 6-003: College Faculties and College Councils and University Curriculum Policy Review Board.](#)  
[Policy 6-200: Graduate Studies and Degrees \(Role of Graduate Council and Undergraduate Council\)](#)  
[Policy 6-300: The University Faculty—Categories and Ranks](#)  
[Policy 6-302: Appointments of Faculty](#)

#### VI. Contacts:

The designated contact officials for this Policy are:

- A. **Policy Owners (primary contact person for questions and advice):** Associate Vice President for Faculty and the Associate Vice President for Health Sciences.
- B. **Policy Officers:** Sr. Vice President for Academic Affairs and the Sr. Vice President for Health Sciences.

These officials are designated by the University President or delegee, with assistance of the Institutional Policy Committee, to have the following roles and authority, as provided in University Rule 1-001:

*"A 'Policy Officer' will be assigned by the President for each University Policy, and will typically be someone at the executive level of the University (i.e., the President and his/her Cabinet Officers). The assigned Policy Officer is authorized to allow exceptions to the Policy in appropriate cases.... "*

*"The Policy Officer will identify an "Owner" for each Policy. The Policy Owner is an expert on the Policy topic who may respond to questions about, and provide interpretation of the Policy; and will typically be someone reporting to an executive level position (as defined above), but may be any other person to whom the President or a Vice President has delegated such authority for a specified area of University operations. The Owner has primary responsibility for maintaining the relevant portions of the Regulations Library... [and] bears the responsibility for determining which reference materials are helpful in understanding the meaning and requirements of particular Policies... ." University Rule 1-001-III-B & E*

#### VII. History:

Renumbering: Renumbered as Policy 6-001 effective 9/15/2008, formerly known as PPM 8-5, and formerly as University Regulations Chapter V.

##### Revision History:

1. Current version: Revision 18

Approved: Academic Senate April 7, 2014

Approved: Board of Trustees May 13, 2014 with designated effective date of May 15, 2014.

Legislative History of Revision 18. *{create and link to legislative history file, from Senate agenda materials}*

2. Earlier versions:

Revision 17 {link to Rev 17 marked as outdated}. Effective dates September 14, 2010 to May 15, 2014.

[Legislative History](#) of Revision 17.

[Revision 16](#): effective dates April 9, 2007 to September 13, 2010

[Legislative History](#) of Revision 16

Editorially revised: 10/15/2008

[Revision 15](#): effective dates February 10, 2003 to April 8, 2007

[Revision 14](#): effective dates December 27, 1999 to February 9, 2003

[Revision 13](#): effective dates September 17, 1999 to December 26, 1999

[Revision 12](#): effective dates May 17, 1999 to September 16, 1999

[Revision 11](#): effective dates July 13, 1998 to May 16, 1999

*[Proposed Revision 17 of Policy 6-300. Draft of 2014-03-28.]*

**Policy 6-300: The University Faculty -- Categories and Ranks.** Revision 17

Effective date May 15, 2014]

*{Drafting note: Except for the definition of “faculty appointing unit” added in Part II as shown, the contents of Parts I & II, and Part III-A to –F, are not shown here, due to their great length, and that no changes are proposed to those contents as part of this project. Those contents, establishing new nomenclature for faculty categories, were comprehensively revised in Revision 16, effective on July 1, 2013.}*

....

II. Definitions. ~~[Reserved]~~

Faculty-appointing unit (or “appointing unit”)—is an academic unit authorized by the cognizant vice president to make appointments of faculty members, as more fully defined in [Policy 6-001-II](#).

III. Policy . . .

*{Drafting note: the following passages, Parts III-G through –J, regarding authority of the faculty, procedures for plenary meetings of the University faculty etc. are being deleted from this Policy 6-300, and moved to and merged with closely related contents in revised Policy 6-100.}*

~~G. Authority of the Faculty~~

~~The authority of the faculty and of the Academic Senate is based on state law, the regulations of the State Board of Regents, and regulations promulgated by the university president and approved by the Board of Trustees. Whatever in this document is in conflict with these is of no effect. Utah Code Ann. 53B-1-101 et seq. (1994).~~

~~The university faculty shall have power subject to the authority of the State Board of Regents, and the university president and Board of Trustees to legislate on matters of educational policy, to enact such rules and regulations as it may deem desirable to promote or enforce such policies, and to decide upon curricula and new courses of study involving relations between schools and colleges. The faculty will normally exercise this power through its representative, the Academic Senate. The faculty shall, however, have the appellate power to review all actions affecting educational policy, including legislation enacted by the Academic Senate, whenever an appeal is made from the Senate to the faculty as hereinafter provided.~~

~~The faculty has a right to a meaningful role in the governance of the university, including primary responsibility for course content and materials, degree requirements and curriculum; it has a right to participate in decisions relating to the general academic operations of the university, including budget decisions and administrative appointments.~~

~~In all matters, except those granted to the Academic Senate, the faculty shall have original jurisdiction. Whenever the faculty is acting within its province as here designated, its actions shall be effective without approval unless they involve an increase in the expense of instruction or administration. Whenever such an increase is involved, whether by action of the university faculty, the Academic Senate, or a school or college faculty, the university president shall report the action to the Board of Trustees with the university president's recommendations. (See Policy 6-001, University Regulations, Section 1.)~~

~~H. Officers of the Faculty~~

~~The president of the university is the chairperson of the faculty. In the university president's absence, the vice president for academic affairs shall preside. The faculty shall have a secretary, who need not be a member of the faculty, appointed by the president at the beginning of each autumn semester for the academic year. The secretary shall be an ex officio member of the Academic Senate. The secretary shall record all action of the faculty and the Academic Senate and preserve all records in a form convenient for reference.~~

#### ~~I. Meetings~~

~~Regular quarterly meetings may be held at a time decided upon by the faculty. Special meetings of the faculty may be held at any time and may be called by the university president or the Academic Senate. Special meetings for the consideration of specified agenda shall also be called by the university president on the written petition of at least five percent of the voting faculty. The vice president for academic affairs shall announce the number of total voting faculty at the beginning of each academic year. To insure a wide distribution of faculty sentiment, not more than one-half of the signatures presented on such a petition shall be counted from any college or school. No action pertaining to any department shall be considered at a special meeting unless the chairperson of the department has been duly notified.~~

~~Any number over ten percent of the voting faculty shall constitute a forum for discussion, but no vote shall be binding with less than fifty percent of the voting faculty in attendance.~~

~~Nonfaculty members of the Academic Senate shall have the right to attend all meetings of the faculty. On the invitation of the university president, persons holding teaching and research positions not defined in Section 2 of this policy as members of the faculty may attend meetings of the faculty and may participate in the discussion of any or all questions. Nonmembers of the voting faculty, as this is described in Section 1 of the chapter, may neither vote nor introduce formal motions in faculty meetings.~~

~~Every member of the faculty shall have free and equal voice in its deliberations. Should the faculty be equally divided on any question, the university president shall have one vote in addition to one vote as a member of the faculty.~~

~~The agenda for special as well as general faculty meetings shall be announced to faculty members and all others authorized to attend or invited to the meeting at least one week in advance of the meeting. In case of emergency the university president may waive this time restriction.~~

#### ~~J. Order of Business~~

~~Roll call, when requested by the university president~~

~~Announcements and communications~~

~~Reports from the officers of administration, school and college councils, and committees~~

~~Unfinished business~~

~~New business~~

~~Adjournment~~

*{Drafting note: the following passages, Part III-K, regarding two research-related committees (the Institutional Animal Care and Use Committee, and the Institutional Review Board for Research with Human Subjects), are being entirely moved to newly created Policy 7-100. It is anticipated that very soon, as part of another revision project, they will be substantively modified to conform to changes in federal regulations and changed practices.}*

#### ~~K. Committees of the Faculty~~

~~***USER NOTE: The contents of Policy 6-300 are under review to be significantly revised during the 2013-2014 year. The project will include moving the following descriptions of certain University committees from this Policy to another Policy and updating those descriptions, and also updating of other portions of this Policy 6-300. Contact the Office for Faculty, for further information regarding the revision project.***~~

**A. Institutional Animal Care and Use Committee**

- ~~1. The Institutional Animal Care and Use Committee (IACUC) is federally mandated to monitor the care, treatment, housing, and use of animals in University laboratory and research programs to assure that animals are treated humanely and in accordance with the Animal Welfare Act of 1966, as amended (7 USC 2131 et. seq.), Department of Agriculture Animal Welfare Regulations, 9 CFR 2, and all other applicable Federal, State, and local laws and regulations.~~
- ~~2. The IACUC consists of at least six faculty and one citizen member. At least one faculty member shall be a Doctor of Veterinary Medicine, with experience or training in laboratory animal science and medicine, who has direct or delegated program responsibility for activities involving animals at the University. The citizen member shall not be affiliated in any way with the University, other than as a member of the IACUC, and shall not be a member of the immediate family of a person who is affiliated with the University. It is intended that the citizen member will represent general community interests in the proper care and treatment of animals. Not more than three members shall be from the same administrative unit of the University. Members shall be appointed for three-year terms by the University President, upon nomination by the Personnel and Elections Committee, with one-third of the membership changing each year. The chair of the IACUC shall be designated by the University President, upon recommendation by the Personnel and Elections Committee. The IACUC reports to the Vice President for Research.~~
- ~~3. The IACUC shall:~~
  - ~~a. Review and approve, require modifications in (to secure approval), or withhold approval of proposed research and teaching activities involving the care and use of animals to insure that the proposed activities are conducted in accordance with applicable laws and regulations;~~
  - ~~b. Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes involving the care and use of animals in ongoing activities to insure that the proposed changes are in accordance with applicable laws and regulations;~~
  - ~~c. At least once every six months, review the University's program(s) for humane care and use of animals;~~
  - ~~d. At least every six months, inspect all University animal facilities;~~
  - ~~e. Submit reports of its evaluations of the University's programs and animal facilities to the Vice President for Research;~~
  - ~~f. Participate in the University's submission of an annual Animal Welfare Assurance to the Office for Protection from Research Risks, National Institutes of Health;~~
  - ~~g. Review and, if warranted, investigate concerns involving the care and use of animals at the University resulting from public complaints or from reports of noncompliance received from laboratory or other University personnel;~~
  - ~~h. Make recommendations to the Vice President for Research regarding any aspect of the University's animal programs, facilities, or personnel training;~~
  - ~~i. Suspend or terminate approval of activities that are not being conducted in accordance with the IACUC's requirements or that has been associated with unexpected pain or discomfort to the animals.~~
- ~~4. No IACUC member may participate in the IACUC's initial or continuing review of any project in which the member has a conflict of interest, except to provide information requested by the IACUC.~~

**B. Institutional Review Board for Research with Human Subjects (General University)**

- ~~1. The Institutional Review Board (IRB) for Research with Human Subjects (IRB) (General University) is federally mandated to monitor review and approve research involving humans as subjects in accordance with the Department of Health and Human Services, Protection of Human Subjects Regulations, 45 CFR 46, and other applicable Federal, State, and local laws and regulations applicable law.~~
  - ~~2. Each IRB panel The IRB (General University) consists of at least six faculty and two citizen five members who are sufficiently qualified to execute the IRBs charge based on experience, expertise, and diversity. The IRB shall consist of members from more than one profession. The IRB shall include at least one member who is a nonscientist and at least one citizen member who is not affiliated with the University, other than as a member of the IRB, and who is not a member of the immediate family of a person who is affiliated with the University. IRB membership is determined consistent with federal regulations. Members shall be appointed for three year terms. by the University President, upon nomination by the Personnel and Elections Committee, with one third of the membership changing each year. The chair of the IRB shall be designated by the University President, upon recommendation by the Personnel and Elections Committee. The IRB reports to the Vice President for Research.~~
  - ~~3. The IRB (General University) shall:
 
    - ~~a. Approve research activity, specify modifications required to secure IRB approval of the research activity, or disapprove any research activity Review and approve, require modifications in (to secure approval), or withhold approval of proposed research activities involving the use of human subjects in projects outside the health sciences to insure that the proposed activities are conducted in accordance with applicable laws and regulations and, that the rights and welfare of the human subjects are protected, that adequate and informed consent is obtained, that confidentiality is maintained, and that potential benefits of the research are commensurate with the possible physical, psychological, social, and/or legal risks involved;~~
    - ~~b. Conduct continuing review of approved protocols for purposes of renewal of the IRB approval period, at intervals appropriate to the degree of risk; Conduct continuing review of research involving human subjects~~
    - ~~Have Conduct continuing review of research involving human subjects at least once every year, and shall have authority to observe or have a third party observe the consent process and the research;~~
    - ~~c. Suspend or terminate approval of research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects;~~
    - ~~d. Review and, if warranted, investigate concerns involving the use of human subjects at the University resulting from public complaints or from reports of noncompliance received from laboratory or other University personnel;~~
    - ~~e. Consult with the University administration as necessary regarding the Multiple Project Assurance of Compliance, required by the Office for Protection from Research Risks, National Institutes of Health. Federal Wide Assurance required by the Department of Health and Human Services Office for Human Research Protections.~~~~
  - ~~4. No IRB member may participate in the IRB's initial or continuing review of any project in which the member has a conflict of interest, except to provide information requested by the IRB.~~
- ~~C. Institutional Review Board for Research with Human Subjects (Health Sciences)~~
- ~~1. The Institutional Review Board for Research with Human Subjects (IRB) (Health Sciences) is federally mandated to monitor research involving humans as subjects in accordance with the Department of Health and Human Services, Protection of Human Subjects Regulations, 45 CFR 46, and other applicable Federal, State, and local laws and regulations.~~
  - ~~2. The IRB (Health Sciences) consists of at least six faculty and two citizen members who are sufficiently qualified to execute the IRBs charge based on experience, expertise, and diversity. The IRB shall consist of members from more than one profession. The IRB shall include at least one member who is a non scientist and at least one citizen member who is not affiliated with the University, other than as a member of the IRB, and who is not a member of the~~

~~immediate family of a person who is affiliated with the University. In addition, one citizen member recommended by the Utah State Board of Corrections shall serve as a prisoner advocate. Members shall be appointed for three year terms by the University President, upon nomination by the Personnel and Elections Committee, with one third of the membership changing each year. The chair of the IRB shall be designated by the University President, upon recommendation by the Personnel and Elections Committee. The IRB reports to the Vice President for Research.~~

~~3. The IRB (Health Sciences) shall:~~

- ~~a. Review and approve, require modifications in (to secure approval), or withhold approval of proposed use of human subjects in projects in the health sciences to insure that the proposed activities are conducted in accordance with applicable laws and regulations that the rights of the subjects are protected, that adequate and informed consent is obtained, that confidentiality is maintained, and that potential benefits of the research are commensurate with the possible physical, psychological, social, and/or legal risks involved;~~
- ~~b. Conduct continuing review of research involving human subjects at least once every year, and shall have authority to observe or have third party observe the consent process and the research;~~
- ~~c. Suspend or terminate approval of research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects;~~
- ~~d. Review and, if warranted, investigate concerns involving the use of human subjects at the University resulting from public complaints or from reports of noncompliance received from laboratory or other University personnel;~~
- ~~e. Consult with the University administration as necessary regarding the Multiple Project Assurance of Compliance, required by the Office for Protection from Research Risks, National Institutes of Health.~~

~~4. No IRB member may participate in the IRB's initial or continuing review of any project in which the member has a conflict of interest, except to provide information requested by the IRB.~~

*{Drafting note: the contents of this following passage, formerly Part III-K-4, regarding "Other Committees" are being moved to and merged with closely related contents in newly revised Policy 6-100}.*

~~K-4. Other Committees~~

~~The University President shall appoint, before the opening of the academic year, upon nomination by the Personnel and Elections Committee, such other standing committees as the work of the University may require.~~

~~Special committees may be appointed at any time by the faculty or the University President. The University President shall be an ex officio member of all committees of the faculty and of the Academic Senate.~~

~~Faculty committees, other than Academic senate committees, must report to the faculty the progress of their work and any action taken and shall act only within the limitations placed upon them.~~

*{Drafting note: the contents of this following passage, formerly Part III-L, now being renumbered as Part G, are not proposed to be changed. The officers of the faculty club have been consulted and see no reason for any change at this time.}.*

~~G. Faculty Club~~

There shall be a Faculty Club on the University of Utah campus, to be governed by a constitution adopted by its membership and approved by the Academic Senate and the Board of Trustees. Amendments to the Faculty Club Constitution shall also require the approval of the Academic Senate and the Board of Trustees.

*[Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information - the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.]*

IV. Rules, Procedures, Guidelines, Forms and other related resources

- A. Rules: (reserved)
- B. Procedures: (reserved)
- C. Guidelines: (reserved)
- D. Forms: (reserved)
- E. Other related resource materials: (reserved)

V. References (reserved)

VI. Contacts:

Policy Owners: Questions about this Policy and any related Rules, Procedures and Guidelines should be directed to the Associate Vice President for Faculty and the Associate Vice President for Health Sciences.

Policy Officers: Only the Sr. Vice President for Academic Affairs and the Sr. Vice President for Health Sciences or their designees have the authority to grant exceptions to this policy.

VII. History:

Renumbering: Renumbered as Policy 6-300 effective 9/15/2008, formerly known as PPM 9-2, and previously as Faculty regulations Chapter II.

A. Revision history:

Current version: Revision 16~~5~~

Approved by Academic Senate: ~~May 2, 2011~~ [ ???]

Approved by Board of Trustees: ~~May 10, 2011~~ [ ???], with effective date of July 1, 2013~~4~~

Legislative history of Revision 16. *{link to Legislative History file of proposal submitted to Senate}*

B. Earlier revisions:

Revision 15: Effective dates July 1, 2011 to [ June 30, 2013 ???]

Legislative History of Revision 15 *{link to [http://www.regulations.utah.edu/academics/appendices\\_6/6-320R0\\_legislativehistory\\_2011-6-17.pdf](http://www.regulations.utah.edu/academics/appendices_6/6-320R0_legislativehistory_2011-6-17.pdf)}*

Revision 14: Effective dates February 10, 2003 to July 1, 2011 *{link to archived Rev 14}*

Revision 13: Effective dates April 8, 2002 to February 9, 2003 *{link to archived Rev 13}*

Revision 12: Effective dates May 17, 1999 to April 7, 2002 *{link to archived Rev 12}*

Revision 11: Effective dates March 8, 1999 to May 16, 1999 *{link to archived Rev 11}*

[Proposed Revision 6 of Policy 6-003. Draft 2014-03-28]

<http://regulations.utah.edu/academics/6-003.php> ]

## **Policy 6-003: College Faculties and Councils, and University**

**Curriculum Policy Review Board.** Revision 6. Effective date: May 15, 2014 ~~Rev. 5. Effective Date: Sept. 13, 2011.~~

- I. Purpose and Scope (Reserved)
- II. Definitions (Reserved)
- III. Policy

*{Drafting note: this passage regarding authority of the faculties of the colleges marked for deletion here is being **moved into Policy 6-001 as a more appropriate location** and modified as shown there.*

*A very few changes are also proposed for the remaining contents of this Policy 6-003 regarding college councils, first to comply with some recent changes in other policies (including replacing the nomenclature of “auxiliary” faculty with “career-line” faculty to conform with spring 2013 changes to Policy 6-300. Some clarifying changes are also proposed regarding the role of the Senate Executive Committee in the approval process for charters of college councils. The existing language clearly provides that the composition of each council, to be reflected in each charter, is subject to approval by the Executive Committee, and also clearly provides that the Executive Committee shall direct functions among the councils and other University committees. Some additional clarifying language is proposed to make clear that Executive Committee (aided by the cognizant VP office) may establish a schedule for periodic reviews and updating of council charters, as well as providing some guidance to help colleges doing such updating. No other substantive changes are proposed for this Revision 6. However, it is likely that after spring 2014 the Senate leadership will consider and propose further revising these existing contents regarding the college councils, as part of a project begun this year of studying and identifying concerns within the University’s somewhat troubled system of college councils. One possible future change would be to describe some additional principles applicable for the structure and authority of the college councils, to provide more thorough guidance for both colleges and the Senate Executive Committee in the process of revising and granting approval of council charters. }*

### ~~SECTION 1. School and College Faculties~~

~~Each school and college faculty shall have, subject to the approval of the Academic Senate and appeal to the university faculty, jurisdiction over all questions of educational policy affecting that school or college, including requirements for entrance, graduation, and major, and prescribed subjects of study.~~

~~Majors shall be authorized by the school or college faculty concerned, but the content of the major shall be determined by the department or departments in which it is given. Majors and their content shall be subject to the review of the Academic Senate in accord with [Policy 6-001, Section 4](#).~~

~~A statement of the action taken upon educational policy by any school or college faculty shall be presented at the next regular meeting of the Academic Senate for consideration and action thereon.~~

## ~~SECTION 2. College Councils~~

### A. Establishment and Authority of College Councils

1. Establishment. College councils are hereby established within the system of University governance.

2. Organizational Scope. A college council shall be organized and shall function within each academic college (as described in [Policy 6-001](#)). Any academic unit or personnel with tenure-line faculty rank appointments not administratively situated within an existing college shall affiliate with and become a constituent part of a college council designated by the University President, ~~but which may be~~ only for the purpose of participating in the University governance responsibilities vested in such college council.

3. General Powers. A college council shall formulate policies and exercise primary authority to make decisions relating to college and department affairs to the extent authorized by [Policy 6-001](#) and other University Faculty Regulations. All actions taken by a college council shall be reviewable by the Executive Committee of the Academic Senate in accordance with criteria approved by the Senate, and shall be subject to the power of the Academic Senate to establish uniform policies and take final action on all matters of University concern.

### B. Areas of Responsibility of College Councils

#### 1. Faculty Personnel Actions

Appointments, and retention, promotion and tenure. The role of college councils within the process of making appointments of faculty shall be as prescribed in [Policy 6-302](#). As is more fully described in that Policy, each college council may adopt college policy regarding the establishment and role of any college-level faculty appointments advisory committee, and may adopt

college policy regarding the eligibility of ~~auxiliary~~career-line faculty to serve on departmental faculty appointments advisory committees.

The role of college councils with regard to decisions on retention, promotion, or tenure of tenure-line faculty shall be as prescribed in [Policy 6-303](#). As is more fully described in that Policy, each college shall establish a college RPT advisory committee, and such committees shall make recommendations with respect to certain RPT decisions.

Colleges may choose to establish a single committee to carry out both the advisory function for appointments, and the advisory function for decisions of retention, promotion and tenure, in all cases, or to serve both functions only for cases in which it is proposed that tenure be granted at the time of initial appointment (commonly known as hiring with tenure).

## 2. Academic Policy Actions

College councils shall develop curriculum and related academic programs to meet the goals and purposes of the University. Any program requiring approval of the State Board of Regents including the establishment of a new department or a new degree, must be submitted to the Academic Senate for approval.

## 3. University Curriculum Policy Review Board

The chairpersons of the various college curriculum committees, as well as the Dean of the Graduate School and the University Registrar, will be convened as a University Curriculum Policy Review Board to review curriculum policies and procedures, coordinate curriculum planning and intercollege consultations, and promulgate modifications in guidelines for processing curricular proposals. The Associate Vice President for Academic Affairs and Undergraduate Studies, or his/her designee, will chair the Review Board. The guidelines proposed by the Review Board, after approval by the Executive Committee of the Academic Senate, will be the operating rules for making curriculum changes during the academic year. Each college council shall develop appropriate Procedures consistent with guidelines established by the Review Board for initiating and reviewing curriculum changes and adjustments for all programs within their respective jurisdictions.

#### 4. General Policy Recommendations

A college council may recommend to the Academic Senate, through the Executive Committee of Academic Senate, new policies or policy modifications in relationship to any aspect of the University operation.

#### 5. Additional Duties

College councils shall perform other functions and duties assigned to them by the Academic Senate from time to time.

### C. Council Structure

The organizational structure and membership of each college council shall be determined, and may be modified from time to time, by majority vote of all voting faculty members of the college involved (in keeping with the principles described in Policy 6-300 for voting rights of faculty categories), and may be either plenary or representative. The college councils should include student members. Where a representative structure is adopted, the representation formula should be broad, ~~and shall be~~ The structure shall be described in the charter of the council. The composition of the council and contents of the charter are submitted to and subject to the approval of the Executive Committee of the Academic Senate and subsequently submitted for the Information of the Senate (See [Policy 6-001-III-C-1](#)).

Each college council shall establish appropriate committees and procedures to expedite its work, and shall provide for meaningful involvement of students in department and college deliberations and activities, including effective coordinating with departmental student advisory committees.

When dealing with faculty personnel action, a college council representing two departments or less or having a total of fewer than twenty-five faculty members in the ranks of professor, associate professor and assistant professor, shall provide for committee processing, where necessary, by referring the matter to the appropriate University-wide committee.

### D. College Council Coordination With University-Wide Committees

To the extent necessary to effectuate the purposes of the college council system of governance as provided herein, the Executive Committee of the Academic Senate shall (1) direct the transfer to the college councils of responsibility for functions delegated to them and heretofore performed by University-wide committees and (2) modify the responsibilities of University-wide committees in corresponding manner.

In its roles described above in approving compositions and charters of, and otherwise directing functions of, college councils, the Senate Executive Committee acts as delegee of the authority of Academic Senate per this Policy and [Policy 6-001](#), and in accord with these the Committee, in consultation with the cognizant vice president, may establish a schedule for reexamination and revision of charters, initiate reviews of charters on its own initiative or in response to requests from faculty members or administrators, provide guidance for use in developing and approving charters, and otherwise assist colleges with development of charters, including by identifying and sharing best practices developed by other colleges.

*{Drafting note: the above changes will conform this description of the Executive Committee role in the charter approval process with the description given in Policy 6-001. The phrasing regarding functions of the Executive Committee is modelled on that used in Policy 6-303 for the Senate Faculty Review Standards Committee, acting as delegee of the authority of the Senate in the process of approving (and providing guidance for) contents of department/college Statements of standards for reviews of faculty members (RPT, TFR, Career-line). This phrasing does not compel the Executive Committee to set up a regular review schedule for council charters— or even identify a preferred time period--- but leaves to the discretion of the Committee the flexibility of arranging for such reviews, based on current circumstances of and need and resources. }*

Endnote: Adaptation of Policy 6-003, regarding college councils, for academic units not structured as typical academic colleges. [Reserved ]

*{Drafting note: This 'placeholder' Note is added as part of Revision 6. It reserves a location for possible later development of an explanation of how an equivalent of a college council may be formed for allowing participation in the University shared-governance system of academic units that do not fit the standard structure of an academic college for which the Policy is designed. In particular such an 'adaptation' note may prove useful for accommodating the needs of the University Libraries, which currently do not have a functional equivalent of a college council, but may consider developing one. This also may prove useful for adaptation for shared-governance participation of interdisciplinary academic programs.}*

*Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information - the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.*

**IV. Rules, Procedures, Guidelines, Forms and other related resources. . . . [contents not shown]**

**Policy 6-015: The University Libraries.** Revision 0. Effective date: May 14, 2014.

I. Purpose and Scope. [Reserved].

**[User note:** As of 2014 this Policy is under review for extensive updating and likely expansion to incorporate other topics related to the University Libraries. The existing content formerly appeared within Policy 6-001, and was moved to this new Policy as part of a thorough revision of 6-001 and other Regulations effective May 2014. At that time minimal updating was also performed, reflecting changes recently made in other related policies (including 6-002 and 6-300), with the understanding that other substantive changes remain to be made after further careful examination. For further information contact the office of the Senate, the Associate Vice President for Faculty, or administration of any of the Libraries.]

II. Definitions. [Reserved]

III. Policy

A. University of Utah Libraries - Policy Statement for Their Government and Administration.

1. Administrative Units in the University Library System

Marriott Library and its branches are operated under the administrative jurisdiction of the Director of Libraries. The Law and Health Sciences Libraries are autonomous administrative units, are located on the sites of their respective schools and have their own directors, who shall cooperate closely with their faculties in the development and maintenance of their collections and make these available to researchers in related fields.

See [Policy 6-001-III-A-1-c](#) describing the University of Utah Libraries within the context of other academic units and academic governance of the University.

The following regulations pertain essentially to the operations of the Marriott Library.

2. The Marriott Library Collections.

The University's collections are to be primarily housed in its central library (the Marriott Library). Departments are enjoined to keep their own collections to immediate research needs and otherwise channel requests for new acquisitions to Marriott Library, in order to avoid costly duplications and make these materials available to a wider audience. The University administration should annually monitor departmental expenditures for library materials.

3. "Area Collections" in Marriott Library.

"Area Collections" involving academic units other than Law and Medicine may be eligible for special arrangements in the Marriott Library, if deemed advantageous to the users and still conducive to administrative and fiscal effectiveness. The library administration and staff shall work closely with the Senate Advisory Committee on Library Policy ~~Advisory Committee~~, the faculty concerned, as well as student representatives to examine and determine such needs.

4. Departmental or Branch Libraries.

A departmental or branch library may be established and maintained with the approval of the vice president for academic affairs and the University President. Any request for such approval must be accompanied by an assessment from the Director of Libraries and the Senate Advisory Committee on Library Policy ~~Advisory Committee~~. Space assignments shall be made in consultation with the library administration. Any officially approved new library shall be operated as a part of the centrally administered library system. All funds that may be provided

for development of library collections, for equipping, or for staffing libraries in the University shall be administered through the various accounts comprising the overall University library budgets.

Any request for the establishment of a centrally administered departmental or branch library shall be supported by documentation showing that additional funding from special sources will be forthcoming, to make sure that the financial resources for maintaining the research collections in the Marriott Library can be kept on a sufficient level.

An approved departmental or branch library must be managed by a professionally trained librarian with adequate support staff.

University library patrons should have access to the use and circulation of branch library materials regardless of departmental affiliation according to policies developed by the library administration and approved by the Senate Advisory Committee on Library Policy ~~Advisory Committee~~.

5. Senate Advisory Committee on Library Policy ~~Advisory Committee (LPAC)~~ (LPAC/SACLPL).

*[User note: With Revision 18, the description of the Library Policy Advisory Committee (renamed as Senate Advisory Committee on Library Policy) which previously appeared here was moved over to [Policy 6-002—III-D-1-i](#), effective May 15, 2014.]*

~~A standing Library Policy Advisory Committee (LPAC) shall be appointed in accordance with the Procedures governing other standing committees of the university. Its members shall include a representative from each academic college and shall include study body representatives. The principal function of this committee shall be to advise the directors of the Marriott Library, the Eccles Health Sciences Library, and the S.J. Quinney Law Library on matters of operational policies, the development of existing holdings, and the expansion of existing facilities from a broad, university-wide perspective. It shall also bring before the Academic Senate matters affecting library needs, policy and administration that it deems appropriate for consideration by that body. The~~

~~directors of each of the three university libraries shall be ex officio, non-voting members of LPAC.~~

#### 6. The Director of Libraries.

The Director of Libraries is an academic officer with the rank of "Librarian" and with the administrative status of a dean. He/she is an ex officio member of the Academic Senate. In accordance with established University procedures relating to the administrative tenure of deans, he/she shall be reviewed at certain intervals by the University administration in consultation with the faculty and staff of the central library.

#### 7. Duties of the Director.

Among such tasks as may be required to fulfill the responsibilities of his/her office, the Director shall:

a. Administer all funds provided from any source for library acquisitions, binding, personnel, supplies, and equipment.

b. Determine in consultation with the library faculty and staff and with the advice of the ~~SACLPAC~~ and the academic units concerned how the various collections shall be arranged, catalogued and staffed.

c. Present to the University administration the needs of the various collections and shall prepare and submit library budget requests and recommendations, after consultation with the library faculty and staff and ~~SACLPAC~~.

d. Work closely with ~~SACLPAC~~, the office of facilities planning, with architects and academic units in developing plans for expansion, addition or remodeling of the physical plant or the utilization of space in the libraries when changes become necessary.

e. Present for action by ~~SACLPAC~~ and the vice president for academic affairs such plans for expansion and addition of buildings or other major changes in library operations.

f. Submit to the President, at the close of each fiscal year, a report on the University Libraries, summarizing the year's developments and achievements, outlining special problems as may seem appropriate, and citing the future needs of the library system.

g. Develop, with the advice of the library faculty and staff and SACLPAC, policies governing the day-to-day operation of the library system.

h. Make recommendations with regard to library positions, appointments, transfers, promotions, and terminations, in compliance with existing University Regulations and with a view to maintaining a qualified faculty and staff for the University Libraries.

i. Represent the University, personally or through a qualified designee, at national, state, and local library conferences, and at inter-library and inter-institutional meetings that may involve the University Libraries.

#### 8. Changes in Instructional and Research Programs Affecting the Library.

In order to assure a proper consideration of the library costs and implications of organizational changes in the University or of the establishment of new teaching and research programs that may be contemplated, the Director of Libraries should be consulted with respect to these implications before final recommendations for such changes are made.

#### 9. University Archives.

The Director of Libraries has the responsibility and authority as University Archivist to develop and maintain the University Archives. In the interest of assuring the proper preservation of materials pertaining to the history of the University, a copy of each publication issued by the University departments or other units shall be sent by the issuing officer to the University Archives; and no University records, whether committee minutes and reports, departmental files, photographs, architectural drawings, or recordings, shall be permanently discarded without the approval of the University Archivist or a designated representative. Inactive files may be sent to the University Archives, or the

Archives Librarian will assist departments in determining what kinds of materials should be preserved for their historical value.

*[Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information – the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.]*

**IV. Rules, Procedures, Guidelines, Forms and other related resources. [... contents not shown]**

[Proposed new Policy 7-100. Draft 2014-03-28.]

{Note: This current phase of this project is to merely move out of Policy 6-300 and into this new Policy 6-100 the entire contents of existing section III-K of 6-300 which describes two research-related committees. Both committee descriptions are greatly in need of major revising, and it is contemplated that very soon as a follow-up phase, these contents will be revised.}

## **Policy 7-100 University Research Committees. Revision 0. Effective date May 15, 2014.**

### I. Purpose and Scope [reserved]

### II. Definitions [reserved]

### III. Policy.

[User note: As of 2014 this Policy is under examination for extensive revising. For further information contact the office of the Senate, office of the Associate Vice President for Faculty, or administrators for each of these research committees.]

#### A. Institutional Animal Care and Use Committee

1. The Institutional Animal Care and Use Committee (IACUC) is federally mandated to monitor the care, treatment, housing, and use of animals in University laboratory and research programs to assure that animals are treated humanely and in accordance with the Animal Welfare Act of 1966, as amended (7 USC 2131 et. seq.), Department of Agriculture Animal Welfare Regulations, 9 CFR 2, and all other applicable Federal, State, and local laws and regulations.
2. The IACUC consists of at least six faculty and one citizen member. At least one faculty member shall be a Doctor of Veterinary Medicine, with experience or training in laboratory animal science and medicine, who has direct or delegated program responsibility for activities involving animals at the University. The citizen member shall not be affiliated in any way with the University, other than as a member of the IACUC, and shall not be a member of the immediate family of a person who is affiliated with the University. It is intended that the citizen member will represent general community interests in the proper care and treatment of animals. Not more than three members shall be from the same administrative unit of the University. Members shall be appointed for three-year terms by the University President, upon nomination by the Personnel and Elections Committee, with one-third of the membership changing each year. The chair of the IACUC shall be designated by the University President, upon recommendation by the Personnel and Elections Committee. The IACUC reports to the Vice President for Research.
3. The IACUC shall:
  - a. Review and approve, require modifications in (to secure approval), or withhold approval of proposed research and teaching activities involving the care and use of animals to insure that the proposed activities are conducted in accordance with applicable laws and regulations;

- b. Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes involving the care and use of animals in ongoing activities to insure that the proposed changes are in accordance with applicable laws and regulations;
  - c. At least once every six months, review the University's program(s) for humane care and use of animals;
  - d. At least every six months, inspect all University animal facilities;
  - e. Submit reports of its evaluations of the University's programs and animal facilities to the Vice President for Research;
  - f. Participate in the University's submission of an annual Animal Welfare Assurance to the Office for Protection from Research Risks, National Institutes of Health;
  - g. Review and, if warranted, investigate concerns involving the care and use of animals at the University resulting from public complaints or from reports of noncompliance received from laboratory or other University personnel;
  - h. Make recommendations to the Vice President for Research regarding any aspect of the University's animal programs, facilities, or personnel training;
  - i. Suspend or terminate approval of activities that are not being conducted in accordance with the IACUC's requirements or that has been associated with unexpected pain or discomfort to the animals.
4. No IACUC member may participate in the IACUC's initial or continuing review of any project in which the member has a conflict of interest, except to provide information requested by the IACUC.
- B. Institutional Review Board for Research with Human Subjects (General University)
- 1. The Institutional Review Board (IRB) for Research with Human Subjects (IRB) (General University) is federally mandated to monitor review and approve research involving humans as subjects in accordance with the Department of Health and Human Services, Protection of Human Subjects Regulations, 45 CFR 46, and other applicable Federal, State, and local laws and regulations applicable law.
  - 2. Each IRB panel The IRB (General University) consists of at least six faculty and two citizen five members who are sufficiently qualified to execute the IRBs charge based on experience, expertise, and diversity. The IRB shall consist of members from more than one profession. The IRB shall include at least one member who is a nonscientist and at least one citizen member who is not affiliated with the University, other than as a member of the IRB, and who is not a member of the immediate family of a person who is affiliated with the University. IRB membership is determined consistent with federal regulations. Members shall be appointed for three-year terms. by the University President, upon nomination by the Personnel and Elections Committee, with one-third of the membership changing each year. The chair of the IRB shall be designated by the University President, upon recommendation by the Personnel and Elections Committee. The IRB reports to the Vice President for Research.
  - 3. The IRB (General University) shall:
    - a. Approve research activity, specify modifications required to secure IRB approval of the research activity, or disapprove any research activity Review and approve, require modifications in (to secure approval), or withhold

approval of proposed research activities involving the use of human subjects in projects outside the health sciences to ensure that the proposed activities are conducted in accordance with applicable laws and regulations and, that the rights and welfare of the human subjects are protected, that adequate and informed consent is obtained, that confidentiality is maintained, and that potential benefits of the research are commensurate with the possible physical, psychological, social, and/or legal risks involved;

- b. Conduct continuing review of approved protocols for purposes of renewal of the IRB approval period, at intervals appropriate to the degree of risk; Conduct continuing review of research involving human subjects  
Have Conduct continuing review of research involving human subjects at least once every year, and shall have authority to observe or have a third party observe the consent process and the research;
- c. Suspend or terminate approval of research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects;
- d. Review and, if warranted, investigate concerns involving the use of human subjects at the University resulting from public complaints or from reports of noncompliance received from laboratory or other University personnel;
- e. Consult with the University administration as necessary regarding the Multiple Project Assurance of Compliance, required by the Office for Protection from Research Risks, National Institutes of Health. Federal Wide Assurance required by the Department of Health and Human Services Office for Human Research Protections.

4. No IRB member may participate in the IRB's initial or continuing review of any project in which the member has a conflict of interest, except to provide information requested by the IRB.

C. Institutional Review Board for Research with Human Subjects (Health Sciences)

1. The Institutional Review Board for Research with Human Subjects (IRB) (Health Sciences) is federally mandated to monitor research involving humans as subjects in accordance with the Department of Health and Human Services, Protection of Human Subjects Regulations, 45 CFR 46, and other applicable Federal, State, and local laws and regulations.
2. The IRB (Health Sciences) consists of at least six faculty and two citizen members who are sufficiently qualified to execute the IRB's charge based on experience, expertise, and diversity. The IRB shall consist of members from more than one profession. The IRB shall include at least one member who is a non-scientist and at least one citizen member who is not affiliated with the University, other than as a member of the IRB, and who is not a member of the immediate family of a person who is affiliated with the University. In addition, one citizen member recommended by the Utah State Board of Corrections shall serve as a prisoner advocate. Members shall be appointed for three-year terms by the University President, upon nomination by the Personnel and Elections Committee, with one-third of the membership changing each year. The chair of the IRB shall be designated by the University President, upon recommendation by the Personnel and Elections Committee. The IRB reports to the Vice President for Research.

3. The IRB (Health Sciences) shall:
  - a. Review and approve, require modifications in (to secure approval), or withhold approval of proposed use of human subjects in projects in the health sciences to insure that the proposed activities are conducted in accordance with applicable laws and regulations that the rights of the subjects are protected, that adequate and informed consent is obtained, that confidentiality is maintained, and that potential benefits of the research are commensurate with the possible physical, psychological, social, and/or legal risks involved;
  - b. Conduct continuing review of research involving human subjects at least once every year, and shall have authority to observe or have third party observe the consent process and the research;
  - c. Suspend or terminate approval of research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects;
  - d. Review and, if warranted, investigate concerns involving the use of human subjects at the University resulting from public complaints or from reports of noncompliance received from laboratory or other University personnel;
  - e. Consult with the University administration as necessary regarding the Multiple Project Assurance of Compliance, required by the Office for Protection from Research Risks, National Institutes of Health.
  
4. No IRB member may participate in the IRB's initial or continuing review of any project in which the member has a conflict of interest, except to provide information requested by the IRB.

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*Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information - the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001. . . . .*

**IV. Rules, Procedures, Guidelines, Forms and other related resources. [... contents not shown]**

{End of Legislative History of Policies 6-001(Rev18), 6-300(Rev17),  
6-003(Rev6), 6-015(Rev0), 7-100(Rev0)\_2014-05-15}