

University of Utah  
**Legislative History for**

**Policy 6-001 Revision 20, Rule 6-001CMP Revision 0,  
Rule 6-001UACI Revision 0**

As approved by the Academic Senate April 26, 2021,  
and the Board of Trustees June 8, 2021  
with designated effective date of July 1, 2021.

Prepared by Bob Flores, Senate Policy Liaison, for the Institutional Policy Committee

Note: The primary purpose of this project was to establish a comprehensive system for creating and reviewing University Academic Centers and Institutes (UACI), by making a small number of significant revisions to the existing contents of Policy 6-001, and adopting new Rule 6-001UACI with extensive details to implement the principles from the main Policy. This primary aspect of the project was the culmination of work done by a series of task forces and committees from 2012 through 2021, ending with the Senate Ad Hoc Committee on Centers, Institutes, and Bureaus, Version #2 ("CIB-2).

A secondary purpose of the project was to shorten the very lengthy Policy 6-001, both by placing most of the new contents regarding the topic of UACIs into a Rule rather than into the main Policy, and also by moving most of the existing contents on the topic of Curriculum Management Plans and Learning Outcome Assessment from the main Policy into a new Rule 6-001CMP, along with very minor reorganizing of those contents and without making any significant changes to the substance.

Along with those most significant purposes, a few other minor changes were made in the main Policy 6-001, including some minor reformatting, and cleaning up of minor grammatical and punctuation problems.

All three of these Regulations were slightly edited after approval and before publishing to the Regulations Library--- by adding tables of contents, inserting some numbered headings, and correcting some minor errors in the numbering of subsections. The contents shown here are the versions as presented to the Senate and Board of Trustees, not including that slight editing.

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Memorandum to Senate Executive Committee, April 12, 2021. Updated April 20, for Academic Senate meeting of April 26, 2021.

## **Re: CIB2 Report, and Proposal for UACI Regulations—Policy 6-001, Rule 6-001UACI (& Rule 6-001CMP)**

From: Bob Flores, Senate Policy Liaison

### I. Introduction.

Presented at the Executive Committee meeting April 12, and then the Academic Senate meeting April 26 is a combined report and proposal from the Senate special committee on Centers, Institutes, & Bureaus (commonly referred to as “CIB2,” because this committee is the second such committee that has worked on these topics and issues in recent years).

Because in my capacity as the Senate Policy Liaison (and earlier as a Special Assistant to the Office for Faculty, Assoc. VP Academic Affairs) I have worked very closely with both this current committee and its predecessor and so have been deeply involved with regulations and procedures for our centers and institutes, I thought it would be helpful to provide to the Executive Committee and Senate members some insights from my experiences and my close involvement with developing this current proposal.

The main thrust of the report and proposal is to approve some short revisions to University Policy 6-001 Academic Units and Academic Governance, and an entirely new University Rule 6-001UACI, providing a very detailed system and set of procedures and criteria for creating new *University Academic Centers and Institutes* (UACIs) and then regularly reviewing such units and determining whether they should be continued, or discontinued. Note the transition of phrasing from “CIB” to “UACI,” indicating both that the term “Bureau” is being eliminated because the committee found that form of unit is no longer being used, and that the new UACI nomenclature will replace the old CBI terminology to convey the message that a very significant shift is occurring.

### II. Roles of new UACI Coordinating Committee & Graduate Council.

Currently, proposals for creating new centers and institutes are considered through procedures managed by the Graduate School/ Graduate Council, and subsequent reviews of the units are conducted primarily by the Graduate School/ Graduate Council, which also manages the procedures for creating and subsequently periodically review academic departments and colleges. The proposal would establish a new UACI Coordinating Committee to assume the bulk of the responsibilities for managing the processes of creating and subsequently reviewing UACIs. To ensure no loss of the expertise developed by the Graduate School and Graduate Council in their years of managing the center and institute processes, and to have the benefit of the knowledge and perspectives of the Council members who represent a wide variety of college constituencies, the new system would include the Dean of the Graduate School as a central member of the new UACI Coordinating Committee, and retain a role for the Graduate Council members to provide input to the Coordinating Committee in the UACI creation and subsequent review processes. And, based on feedback from the Senate Executive Committee, the updated proposal puts greater emphasis on having such consultation with the Council members.

Also based on that Executive Committee feedback the updated proposal expands and modifies the faculty membership of the new UACI Coordinating Committee, so it would have nine voting members, six of whom will be tenure-line or career line faculty members. From central administration it would include the Graduate School Dean, the Vice President for Research, and the Vice President for Institutional Advancement. From the faculty it would include the President of the Academic Senate (or designee), and five other tenure-line or career-line faculty members with relevant experience (one chosen by the Senate President, and four chosen by the University President, after consultation with the Senate Executive Committee). All members would be charged to represent the interests of the University overall, not the narrower interests of any particular unit or area.

The Coordinating Committee would have central roles in (i) developing Guidance materials with further details for the procedures it would manage and oversee, (ii) managing proposals to create new UACIs, (iii) managing periodic thorough reviews of UACIs, and (iv) managing a UACI Registry tracking the status of UACIs.

### III. Process for creating *new* UACIs.

The revised processes for creation of new UACIs would provide that, in general, all new UACIs begin with a three-year period of “initial phase authorization” status, then upon successful completion of that initial phase be approved for “continuing authorization status,” first for a five-year period, and then upon successful reviews be renewable for successive periods of seven years with continuing authorization status. (I.e., 3 years initial phase, 5 years in continuing status, then successive 7 year periods renewable in continuing status.) No new UACI could go directly to continuing authorization status --- all would be required to go through the initial phase, which is essentially a 3 year ‘trial period.’

The overall process for creating a new UACI would include preparation, including consultation with the cognizant Senior Vice President(s), and then an early formal stage of submitting to the Coordinating Committee a “**Letter of Intent**” with basic important information, and then that Letter used for further consultation with the cognizant Senior Vice President(s) and with the Council of Academic Deans (as one of multiple methods to identify and address any concerns about how a new UACI would affect other existing units of the University. If the Committee (or the University President) grants permission to proceed further, then there would be a Formal Proposal to create the new UACI for the three-year initial phase period, with reviews and recommendations about that proposal made by a series of participants, including administrative officers, and the Academic Senate. Upon a successful experience in the three-year initial phase, there would be a Formal Proposal to transition into the Continuing Authorization status, for a five-year period.

Approved UACI’s that have gone through the three-year initial phase trial period, and then attained Continuing Authorization status would subsequently undergo thorough reviews at each successive multi-year period (Multi-Year Review Reports), and in most cases routinely would apply for “Renewal” for another such multi-year period (ordinarily of 7 years). The system and procedures would provide for “discontinuance” of a UACI under appropriate circumstances (e.g., no funding available to continue operations, lack of interested personnel, or functions were absorbed by other units, etc., so the UACI should be ‘removed from the books’).

To ensure that the new system and processes achieve intended important purposes without unduly burdening participants with unnecessary and unhelpful ‘red tape’ the new Rule would provide for

various exceptions to some of the ordinarily required steps, to be used as circumstances justify. For example, the ordinary processes for creating a new UACI would require a voted-upon “Recommendation” from the Academic Senate. However, if truly urgent circumstances so justify, with a certification of true urgency by the University President, the Senate Executive Committee could substitute for the full Senate and provide that voted-upon Recommendation much more quickly. Other process-shortening exceptions are also described in the new Rule.

IV. A balanced approach to integrate into the new UACI system the existing center and institute units created under the old CIB system (a transition period up to four years).

For existing centers and institutes, which have not gone through the comprehensive creation process of the new UACI system, the Rule would allow for circumstantially-justified exceptions to the ordinary processes, to allow those existing units to be recognized as approved UACIs with continuing authorization status, without undue difficulty and delay. Based on feedback from the Executive Committee, the updated proposal would provide for a planning and adjustment period after the new Rule takes effect, giving the Coordinating Committee up to three years to develop and begin implementing a plan to apply the Rule to existing units. By the fourth year (or possibly extended to the seventh year in a few extraordinary cases), existing units would be brought into compliance with the principles that the revised Policy and new Rule adopt and recognize as so fundamental that they must be required for all UACI’s, new and pre-existing. Through an earlier phase CIB related project it had already been established that all existing units operating as centers or institutes would be required to go through a review process on a multi-year cycle. That element of a periodic review requirement is carried forward in this proposal. The plan the Coordinating Committee would be required to develop and implement would result in all existing units being brought into compliance with those fundamental principles either through the formal review process carried out on that multi-year cycle, or earlier in some cases, as will be determined appropriate by the Committee based on the relevant circumstances.

This requirement for existing units is important to avoid a result of having two separate and unequal classes of center and institute units, with newer units required to conform to the fundamental principles, while the older units might be perpetually excused from complying with such fundamental principles merely because they had been created before the University recognized and acted on the need to develop and implement an appropriate regulatory system.

The most fundamental of the principles are described in the very short passage being added to Policy 6-001.

“The contents of Policy 6-001 regarding UACIs are intended to be implemented through associated Regulations including a University Rule (Rule 6-001UACI) and related UACI Guidance. The Regulations shall (A) further describe the functions of UACIs; (B) set procedures and criteria for creating and periodically renewing/ or discontinuing UACIs; (C) provide for a UACI coordinating committee to manage the processes of creating, reviewing and renewing/ or discontinuing UACIs; **(D) ensure that creation and renewal procedures include consultation with other academic units potentially interested in or affected by activities of a UACI;** (E) require a formal recommendation of the Academic Senate for creation of new UACIs and regular reports to the Senate by the UACI committee; (F) require all new UACIs to have a trial period; **(G) require that the organizational and governance structure of each UACI be described in a governance**

**charter with a faculty shared governance body overseeing academic activities and administrative officers overseeing fiscal management and; (H) require each UACI to have a funding and sustainability plan.”**

That requirement for each UACI to have an organization and governance structure which includes a “faculty shared governance body” is then referred to in the new Rule 6-001UACI as a requirement that a proposal for a new UACI demonstrate compliance with a fundamental principle that: **“The UACI’s overall organizational structure serves the University’s fundamental values for fiscal oversight, rigor in academic activities, and faculty shared governance, with a UACI Governance Board as a primary feature of that structure.”**

V. The UACI/ CIB Project history.

This proposal comes through the work of a special committee which the Academic Senate first authorized in May 2017. Because of the complexity of the subject matter, intensity and breadth of concerns, and importance of having multiple perspectives and broad expertise, the tasks of selecting members and developing a charge continued through February 2018. The committee’s tasks of conducting background research, discussing and agreeing on basic principles, then developing documents on which this proposal is based were highly complex, requiring gathering input from many parts of the University, recognizing and balancing competing interests and concerns, and working through multiple iterations of document drafts, which occurred primarily in 2018 and through fall 2019, done by the committee as a whole, and at times by a smaller subcommittee, particularly in the later stages. The committee presented a mid-project report to the Senate in April 2018. Due to other high priority projects of the Senate requiring the attention of the Policy Liaison, this project was paused for most of 2020 and then in spring 2021 restarted and completed by a small subcommittee led by the CIB2 Committee chair Andrea Rorrer (Professor of Educational Leadership and Policy, and Director of the Utah Education Policy Center), assisted by Senate Policy Liaison Bob Flores. The proposal has been reviewed by Dean of the Graduate School David Kieda, and Vice President for Research Andrew Weyrich. As noted, it was presented to the Senate Executive Committee whose members gave important feedback leading to updating and refining the version now being presented to the Senate. And the proposed Regulations were presented to the University’s Institutional Policy Committee in spring 2021 consistent with standard processes.

It is important to acknowledge that this current committee’s work followed upon earlier important steps undertaken by predecessor CIB task forces and working groups in 2014 and 2015, through projects initially organized by the Associate VP for Faculty Amy Wildermuth, and subsequently by the Associate Dean of the Graduate School Donna White under direction of Dean David Kieda, with ongoing assistance of the Senate Policy Liaison. Among the major developments of that earlier work, the Graduate School/ Graduate Council gathered important information, including a list of existing centers and institutes, and developed and implemented a “Centers, Institutes, and Bureaus Interim Guidance Document” which has been used to guide creating of units while the University awaited completion of this CIB2 committee’s proposal. Those important earlier materials may be seen on a “Centers, Institutes, and Bureaus” web site-- <https://centers.utah.edu/> , including the very informative CIB Interim Guidance Document-- <https://centers.utah.edu/wp-content/uploads/2018/08/CIBsInterimGuidanceDoc.pdf>

VI. Implementation timeline & required reviews after implementation.

This proposal is for the revision of Policy 6-001 and the new Rule 6-001UACI to take effect July 1, 2021, and of course there would then be a period of time for the new Coordinating Committee to be set up and begin functioning, and the Committee would develop a timeline for work during the 2021-2022 year implementing the new system for managing creation and subsequent review of UACIs. The proposed Rule includes an explicit requirement for two thorough reviews of the new system to be conducted, with reports to the Senate, first in the third and then in the seventh year operating under the new Rule. And it requires that brief reports of the activities of the Coordinating Committee be presented to the Senate every year, perpetually.

VII. Proposal documents, and the unrelated Rule 6-001CMP spin-off proposal, included with this main proposal for efficiency.

The materials for this combined report and proposal include (a) this memorandum to the Executive Committee, updated for the Academic Senate, (b) a document showing the contents of the new Rule 6-001UACI plus in shortened form the relevant excerpted portions of the main Policy 6-001 as revised, and (c) a complete version of the entire Policy 6-001 with revisions marked and the complete version of a spin-off Rule 6-001CMP.

For purposes of efficiency in revising Regulations and efficient use of the Senate's time, this proposal includes an entirely non-substantive revision, of taking some existing content from current Policy 6-001 and moving it, unchanged, into a new 'spin-off' Rule 6—001CMP, governing the processes of curriculum management by academic departments. The Senior Associate Vice President for Academic Affairs, Martha Bradley, and head of the office which oversees such curriculum management –Assistant VP Undergraduate Studies Ann Darling, have agreed this change would be quite useful. And with no potential for controversy, as your Senate Policy Liaison I believe it can easily be processed along with the main proposal, and so I recommend it to make efficient use of Senate members' time. Therefore, approval of this overall proposal regarding UACIs would include formal approval of this purely technical change moving contents out of the very lengthy Policy 6-001 and into the spin-off Rule 6-001CMP, as shown in the included lengthy document

VIII. Further information & committee member list.

Additional information about the UACI proposal, and the CIB2 committee and its work may of course be obtained from the committee, and chairperson Prof. Andrea Rorrer, College of Education.

[andrea.rorrer@utah.edu](mailto:andrea.rorrer@utah.edu)

As your Senate Policy Liaison, please consider me as a resource for information about this project also, and background information about this and previous projects I've been involved with regarding regulations and practices for centers and institutes for several years. Bob Flores

[robert.flores@law.utah.edu](mailto:robert.flores@law.utah.edu)

Attachment: 2018-01-03 CIB2 members list

The 2018-01-03 list of CIB2 Committee members as approved by the Academic Senate Executive Committee.

<b>Business</b>	Bob Allen
<b>Dentistry</b>	Glen Hanson
<b>Education</b>	Andrea Rorrer <b>CHAIR</b>
<b>Engineering</b>	Milind Deo
<b>Fine Art</b>	Sarah Projansky
<b>Health</b>	Jim Martin
<b>Humanities</b>	Janet Theiss (on sabbatical thru spring, will join in summer 2018)
<b>Law</b>	Leslie Francis
<b>Medicine</b>	Harriet Hopf
<b>Mines &amp; Earth Sciences</b>	John Lin
<b>Nursing</b>	Marla DeJong
<b>Pharmacy</b>	Nancy Nickman
<b>Social &amp; Behavioral Science</b>	Mark Button
<b>Social Work</b>	Mary Jane Taylor (going on sabbatical Fall 2018)
<b>QIDT</b>	Ann Engar
<b>Ex Officio</b>	Bob Flores, Bob Fujinami, David Kieda
<b>Admin</b>	Fred Esplin, Amy Wildermuth
<b>At Large Appointees</b>	Margaret Clayton (Senate President)

*{Drafting note: Complete version of Policy 6-001 Rev 20, with the specific proposed revisions for purposes of (i) the project on University Academic Centers and Institutes, and (ii) for moving to a new Rule most of the existing contents about Curricula Management Plans, and (iii) with other minor changes unrelated to the UACI project or the CMP project, but included as part of the UACI proposal, for efficiency. All proposed changes are shown in Track Changes. Those changes related to the UACI project are marked with yellow highlighting. Draft of 2021-04-19.*

*Note to Senate: It is recommended that readers primarily focus on the separate document that shows excerpts of Policy 6-001 along with the new UACI Rule. This document with a complete version of the Policy is very lengthy and only very minor portions are relevant for the UACI Project.*

## **Policy 6-001: Academic Units and Academic Governance - Roles of Faculties, Committees, Councils, and Academic Senate. Revision 1920. Effective date July 1, 20172021**

### **I. Purpose and Scope.**

#### A. Purpose.

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.

#### B. Scope.

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.

The following definitions apply for purposes of this Policy and its associated Regulations.

A. Credentialed Academic Program ~~—means—~~ ~~As defined for purposes of this Policy and the term as it is defined in Policy 6-500 (Curriculum Management and Administration):~~ which provides:

~~—“each Degree, Major, Minor, Certificate, or Emphasis is considered to be a Credentialed Academic Program~~ (;Credentialed Program). Each such Credentialed Program is offered by a specific academic unit, is conferred by the University, and is awarded by the Office of the Registrar.”

B. Course-offering unit— ~~means-- for purposes of this Policy is~~ as is defined in [Policy 6-100-II](#), (Instruction and Evaluation), which provides:

"an academic unit authorized to offer credit-bearing courses and bearing primary responsibility for the content, instruction and evaluation of such courses."

A.C. Faculty-appointing unit—~~means-- is~~ an academic unit authorized by the cognizant vice president to make appointments of faculty members. Such authorization may be for 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 [Policies 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.

- 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 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.

The administrative head of a department has the title of chairperson; the chairperson reports to the dean of the college to which the department belongs.

A. 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. The administrative head of a school usually has the title of director, but 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.

B. *Free-standing divisions* are also recognized as academic course-offering 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 in terms of the number of full-time equivalent tenure-line faculty positions. Such divisions may offer undergraduate and graduate degrees. 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 has the title of division chairperson; the chairperson reports to the dean of the college to which the division belongs.

C. 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.

D. *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: Law, Nursing, Dentistry, and Social Work. The administrative head of an academic college 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, includes the following units named "schools" that for all purposes function as academic colleges and are headed by academic deans: The School for Cultural and Social Transformation, 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, Cultural and Social Transformation, Dentistry, Education, Engineering, Fine Arts, Health, Humanities, Law, Medicine, Mines and Earth Sciences, Nursing, Pharmacy, Science, Social and Behavioral Science, and Social Work.

- 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 formerly included a unit named the "University College" –which in 2017 was renamed the “Academic Advising Center” (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.

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 and Arts and Engineering Program, The Environmental and Sustainability 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.

- d. The University of Utah Libraries. The University of Utah Libraries 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 Academic 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.

e. Other Academic Units (Centers, ~~and~~ 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 University Academic Centers or University Academic Institutes (hereafter "UACIs"). ~~academic centers, academic institutes, and academic bureaus (hereafter "C//B")~~.

ii. These UACI ~~academic C//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/W/B~~ unit through the process of approval of the unit as a Qualified Interdisciplinary Teaching Program per [Rule 6-310](#).

These ~~C/W/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/W/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/W/B-UACI~~ units. ~~[Reserved]~~

~~[User note: as of 2014, a project is underway to clarify and improve the University's regulations and processes regarding C/W/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.]~~The contents of Policy 6-001 regarding UACIs are intended to be implemented through associated Regulations including a University Rule (Rule 6-001UACI) and related UACI

Guidance. The Regulations shall: (A) further describe the functions of UACIs; (B) set procedures and criteria for creating and periodically renewing/ or discontinuing UACIs; (C) provide for a UACI coordinating committee to manage the processes of creating, reviewing and renewing/ or discontinuing UACIs; (D) ensure that creation and renewal procedures include consultation with other academic units potentially interested in or affected by activities of a UACI; (E) require a formal recommendation of the Academic Senate for creation of new UACIs, and regular reports to the Senate by the UACI coordinating committee; (F) require all new UACIs to have a trial period; (G) require that the organizational and governance structure of each UACI be described in a governance charter with a faculty shared governance body overseeing academic activities and administrative officers overseeing fiscal management and; (H) require each UACI to have a funding and sustainability plan.

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 Parts 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.

- a. Except as otherwise specified in this Policy or an associated Rule, ~~p~~Proposals to create, modify, or ~~delete~~discontinue 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.

i. \_\_\_\_\_ Procedures for creation, significant modification, review, and discontinuance of academic units. [~~work in progress~~]

A. Academic colleges, academic departments, freestanding academic divisions. [~~Reserved-- work in progress.~~]

B. Interdisciplinary academic programs with curricular responsibilities. [~~Reserved-- work in progress.~~]

C. University libraries. [~~Reserved-- work in progress.~~]

D. University Academic Centers or Institutes. The procedures for creation, significant modification, review, and discontinuance of University Academic Centers or Institutes shall be described in Regulations associated with this Policy, including a University Rule (Rule 6-001UACI) and UACI Guidance.

ii. Principles for ~~initial establishment and subsequent~~ creation and review of academic units with curricular responsibilities.

A. Curricula Management Process and Plan. An academic unit which has primary curricular responsibility for any Credentialed Academic Program (as defined above—degree, major, minor, emphasis, certificate or other such program of study), or is a course-offering unit of any credit-bearing course, shall have a *curricula management process* for developing, periodically assessing, and modifying the curricula over which that unit has primary responsibility. The process shall be appropriate for the type of curricular responsibilities of the unit, and shall be described in a written *curricula management plan* of the unit.

B. For new academic units, the curricula management plan shall be

included with the proposal for initial establishment of the unit. For existing units, the plan shall be submitted at or before the time of the University's next Seven Year Academic Unit Review of that unit. These plans will be reviewed as part of the University's Seven Year Academic Unit Reviews of academic units, and should also be reviewed whenever a unit undergoes extensive organizational changes significantly affecting the unit's curricula management responsibilities.

C. This Section III-A-2-b-ii of Policy 6-001 is intended to be implemented through associated Regulations, including a University Rule (Rule 6-001CMP) and CMP Guidance which shall provide further details of the procedures and requirements for Curricula Management Plans, and for review of such Plans as part of Seven Year Academic Unit reviews.

**{+++Drafting note: the lengthy remaining portions of this section, marked for deletion, and gray highlighted, are proposed to be removed from Policy 6-001 and moved, without any substantive changes, into new Rule 6-001CMP. This move is made to shorten the currently great length of Policy 6-001 and present the contents in a more reader-friendly easily-accessible form in the separate Rule. +++}**

~~[[The curricula management process, described in the written plan, shall include (i) an internal curricular decision-making process, and (ii) a schedule and procedures for conducting periodic curricula reviews (specifically including program learning outcome assessment). These shall serve the University's fundamental commitment to excellence in its teaching mission through continual reevaluation and improvement of curricula.~~

~~1. The unit shall have an internal consultation and decision-making process which places primary responsibility for curricula management decisions with a body comprised mainly of voting-qualified members of the faculty of the unit, and also provides for oversight by another body comprised mainly of voting-qualified faculty members. Consultation with student representatives is encouraged. For example, in a typical structure of an academic department within a multi-department academic college, the process will include formal approval by the voting-qualified faculty of the department (possibly assisted by a designated departmental curricula committee), and consultation or formal approval by a body representative of the~~

~~college faculty (either the full college council, or a curricula committee of the council).~~

~~For any curriculum which is interdisciplinary in nature such that the curriculum management responsibilities are shared by two or more academic units, the process shall include means of formal oversight by representatives of the faculty of all units which share in those curriculum management responsibilities.~~

~~2. The curricula management plan shall include a schedule of procedures for periodically reexamining all curricula over which the unit has primary responsibility.~~

~~a. The schedule shall provide for i) a thorough review of every credentialed academic program (degree, major, minor, emphasis, certificate, or other such academic program of study), on a review cycle of no more than seven years, and two interim summary program learning outcome assessment reports within the seven year cycle (ordinarily in the 3<sup>rd</sup> and 5<sup>th</sup> years). This is to ensure that at least one such thorough curriculum review will have been completed at the time the University conducts each Seven Year Academic Unit Review of the unit, and that summary reviews addressing learning outcomes will be performed in the interim. The written plan shall describe the roles of any committees and administrative positions responsible for carrying out the scheduled reviews. The University Administration shall designate and adequately support a resource office (Learning Outcome Assessment) to coordinate and provide guidance for such reviews, and to receive review reports.~~

~~b. Seven year thorough review. The procedures for the seven year cycle thorough reviews for each such program of study shall at minimum include: identification of the program expected learning outcomes; and development and implementation of methods for assessing effectiveness in achieving those expected learning outcomes and preparation of a curricula review report.~~

~~The unit shall submit a thorough curricula review report which shall include, for each credentialed academic program: i) description of the credentialed program of study; ii) description of the learning outcomes assessment methods and results; iii) description of the number of students participating in the program of study year by year; iv) consideration of the role of the particular credentialed program of study in the larger context of curricula offerings~~

of the unit's parent college, and of the University as a whole; and v) description of any changes for the program of study made or being contemplated. It shall also describe any changes of the unit's internal consultation and decision-making process for curricula management decisions. The designated University resource office (Learning Outcome Assessment) shall provide a sample report form and other appropriate guidance to assist units preparing their curricula review reports.

The thorough review report shall be approved by the voting-qualified faculty of the unit, presented to the dean of the college and the college council (or delegated committee), and submitted to the designated University resource office (Learning Outcome Assessment). A copy shall be included in materials proved for the University's Seven Year Academic Unit Review of the academic unit.

c. Interim Program Learning Outcome Assessment report. The Procedures for interim summary learning outcome assessment reports (ordinarily 3<sup>rd</sup> and 5<sup>th</sup> years) shall include conducting learning outcomes assessment for each credentialed program of study, analyzing the results, and considering any needed curricular changes.

The unit shall prepare a summary report describing, for each credentialed program of study, the learning outcomes assessment conducted and the results; and describing any substantial changes made subsequent to the most recent thorough or summary review regarding the program of study, or the expected learning outcomes or methods of assessment. The interim report shall be submitted to the designated University resource office (Learning Outcome Assessment), and copies presented to the voting-qualified faculty of the unit, the dean, and the college council (or delegated committee of the council).

d. Any changes to the credentialed program of study following either a thorough or a summary review shall be processed through the University's usual approval procedures as appropriate for the nature and extent of the changes. [See Policy 6 500 Curriculum Administration and Management.]

3.1. It is a fundamental principle that the review and reporting process is intended to assist units in ensuring the high quality of the University's curricular offerings, and to avoid imposing undue burdens of work which do not substantially contribute to academic quality. Reports from reviews of more than one credentialed academic program may be combined in a

~~single document when convenient. Units which periodically undergo reviews of curricula by external accrediting bodies are encouraged to coordinate the University's curricula review process with those external reviews for maximum efficiency in use of University resources. The University Administration, in consultation with the Graduate and Undergraduate Councils, will provide technical assistance and guidance for units for developing and implementing curricula management plans, conducting and reporting on periodic curricula reviews generally, and in particular for identifying expected learning outcomes, and developing and implementing methods for assessing effectiveness in achieving expected learning outcomes. The Administration shall designate officers responsible for providing such technical assistance and guidance. {???Drafting note: end of contents being moved to CMP Rule +++}.]~~

B. Faculties of the University -- Composition and Authority.

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 (i) the faculty of the academic department in which his/her primary faculty appointment is made, (ii) the faculty of the college in which the department is situated, and (iii) 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 or 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/ or institute/ or bureau~~), the individuals with direct and/or shared faculty appointments in that unit collectively constitute the faculty of that unit.
- b. College faculties. An academic college faculty shall consist of the dean of the college and such members 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 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 college faculties. If a department (or other academic unit) serves more than one college, the department chairperson may designate a member to represent the department at meetings of the faculties of 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. The contents of Policy 6-001 regarding University Academic Centers or Institutes (UACIs) are intended to be implemented through associated Regulations, including a University Rule (Rule 6-001UACI), and UACI Guidance.

### 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.

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 academic unit, including requirements for entrance, graduation, and major, and prescribed subjects of study.

Majors shall be authorized by the 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 Part III-D of this Policy.

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

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 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 (2009).~~

"(4) (a) Except as provided in Subsection (4)(b), without the approval of the board [Utah Board of Higher Education], an institution of higher education may not: (i) establish a branch, extension center, college, or professional school; or (ii) establish a new program of instruction.

(b) An institution of higher education may, with the approval of the institution of higher education's board of trustees, establish a new program of instruction that meets the criteria described in Subsection (3)." Utah Code Ann. 53B-16-102 (2020).

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 and Graduate and Undergraduate councils, except that the 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 [Utah Board of Higher Education](#) ~~State~~ (formerly Board of Regents), and regulations promulgated by the ~~U~~university ~~P~~resident 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. (202014).

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 college faculty, the University ~~p~~President shall report the action to the Board of Trustees with the University ~~p~~President's recommendations.

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](#).

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 ~~P~~resident 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.

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. 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](#)).

~~Non~~-faculty 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

[\[Policy 6-300\]](#) 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 [\[Policy 6-300\]](#), 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.

#### University Faculty Meetings Order of Business

- Roll call, when requested by the University President
- Announcements and communications
- Reports from the officers of administration, college and Graduate and Undergraduate councils, and committees
- Unfinished business
- New business
- Adjournment

#### C. Academic Governance Committees and Councils.

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

- a. 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 [\(consistent with the Curriculum Management Processes and Plans required by this Policy 6-001 and Policy 6-500\)](#), 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. In accord with [\[Policy 6-003\]](#) college councils 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 councils may include councils serving more than one college where appropriate. Such councils shall have decision-making authority, as stated in [\[Policy 6-003\]](#), 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, the Curriculum Management Plans required under this Policy 6-001 and Policy 6-500](#), and other pertinent University Regulations, and these standing committees shall be described in the charters of the councils.

c. [Committees within Other Academic Units \(Interdisciplinary Academic Programs; Centers, and Institutes—and Bureaus\). ~~\[Reserved\]~~](#)

- i. [Interdisciplinary Academic Programs shall establish such committees as are appropriate to carry out their functions, consistent with this Policy 6-001 \(including the requirement of Curriculum Management Plans\), and with Rule 6-310 for Qualified Interdisciplinary Teaching Programs.](#)

ii. University Academic Centers and Institutes shall establish such committees as are appropriate to carry out their functions, consistent with this Policy 6-001, and with Rule 6-001UACI.

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

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 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 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 shall act only within the limits set for them. The University President shall be an ex officio member of all committees of the faculty.

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.

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

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.

b. Graduate Council--Composition and Authority.

The Graduate Council is hereby established within the system of academic governance of the University. As more fully described in [Policy 6-200 and associated University Regulations](#), the Council supervises graduate study at the University, 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 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 academic administrative units \(e.g., departments, divisions\); ~~centers, institutes and bureaus~~, and proposals for name changes or major revisions of the preceding, and conducts or participates in periodic reviews of such academic units, through the processes described above in Part III-A-2 \("Creation, Review, and Discontinuance of Academic Units"\). With regard to University Academic Centers and Institutes, the Graduate Council has those specific functions which are provided for by Part III-A-2 above, as implemented through Rule 6-001UACI.](#) ~~It~~ [The Council](#) assumes other responsibilities

as established by University Regulations or Utah Board of Higher Education (formerly Board of Regents) Policy.

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 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 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.

c. Undergraduate Council--Composition and Authority.

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, Cultural and Social Transformation, Education, Engineering, Fine Arts, Health, Humanities, Mines & Earth Science, Nursing, Science, 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, Academic Advising Center (formerly known as University College), 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 the Council shall have the responsibility of establishing and maintaining 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 those requirements through periodic review of curriculum. To facilitate such review, the Associate

Academic Vice President for Undergraduate Studies will appoint representative faculty committees 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 of undergraduate programs and degrees by colleges and departments. It assumes other responsibilities as established by [Policy 6-101](#), [Policy 6-500—Curriculum Management and Administration](#), and other pertinent University Regulations or [Utah Board of Higher Education \(formerly Board of Regents\)](#) 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, 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](#).

D. Authority of The Academic Senate.

The Academic Senate ("Senate") is constituted as provided in and governed by [Policy 6-002](#).

The 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 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 Senate shall also have the following powers:

1. to receive and consider reports from all faculty committees, councils, departments, divisions, 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 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 Senate of all faculty resignations, any faculty member shall have the right to request the review of any resignation, and each request for such a review must be referred to the Senate Committee on Academic Freedom and Faculty Rights for proceedings as described in [[Policies 6-307](#) and [6-010](#)].

The University ~~P~~resident may refer to the Senate any matter upon which the

University ~~P~~resident 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 for study and report back to the Senate and University ~~p~~President. The University ~~p~~President may also appoint an ad hoc committee of faculty members and others when appropriate to advise the University ~~p~~President when a question arises concerning the competence or conduct of a staff or faculty member in a given department.

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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.**

~~A.~~ Rules (~~reserved~~)

1. Rule 6-001CMP – Curriculum Management Plans

~~4.2.~~ Rule 6-001UACI—University Academic Centers and Institutes

~~A.B.~~ Procedures (reserved)

~~B.C.~~ Guidelines (reserved)

~~C.D.~~ Forms (reserved)

~~D.E.~~ Other related resource materials

#### **V. References**

Utah Code Ann. 53B-16-102 (2009)

Policy 2-005 – Officers of the University

Policy 6-002: The Academic Senate and Senate Committees: Structure Functions, Procedures

Policy 6-003: College Councils, ~~and University Curriculum Policy Review Board~~

Policy 6-200: Graduate Studies and Degrees [re: Role of Graduate Council and Undergraduate Council]

Policy 6-300: The University Faculty---Categories and Ranks

Policy 6-302: Appointments of Faculty

Policy 6-500: Curriculum Management and Administration

## VI. Contacts

- 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:

- A. Current version: Revision ~~4920~~

Approved: Academic Senate ~~April 3, 2017~~ April 26, 2021

Approved: Board of Trustees ~~[???] April 11, 2017~~ 2021, with designated effective date of July 1, ~~2021~~ 147

Legislative History of Revision 20. {Embed link}

B. Earlier versions:

Revision 19: effective dates July 1, 2017 to [ ?? 2021]

Legislative History of Revision 19. {Embed link}

Revision 18: effective dates May 14 2014 – June 30, 2017

Legislative History of Revision 18

Revision 17: effective dates September 15, 2010 to May 14, 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

{**Drafting note:** Rule 6-001CMP Revision 0. **Draft 2021-4-19.** This ‘new’ Rule is actually some of the existing contents of Policy 6-001, which contents are being removed from the ‘parent’ main Policy and placed in this ‘child’ secondary Rule so that the contents will be more conveniently accessible to readers. The very few minor changes of content made as the material is shifted over from the Policy to the Rule are marked with standard markings--- double underline for any new material, and ~~double strike-through~~ for any material being deleted. Material not marked is existing content, not being changed. }

## **Rule 6-001CMP: Curricula Management Plans of Academic Units. Revision 0. Effective date July 1, 2021**

### **I. Purpose and Scope.**

#### A. Purpose.

This Rule implements certain portions of [Policy 6-001--Academic Units and Academic Governance](#), by providing further details for the requirement that academic units develop and follow written Curricula Management Plans, which describe their Curricula Management Processes, including the processes for conducting Learning Outcomes Assessments. This Rule describes the contents required for such Plans and Processes, the procedures for approving the written Plans, and the schedules for periodically reviewing the Plans and for periodically reviewing curriculum in accord with the Plans.

#### B. Scope.

This Rule applies to all academic units of the University which offer any credit-bearing course or any Credentialed Academic Program (as defined here).

For related information, refer to [Policy 6-500](#) Curriculum Management and Administration, which describes the University’s overall system and processes for approval of curricula.

### **II. Definitions**

The following definitions apply for purposes of this Rule and its associated Regulations.

- A. *Credentialed Academic Program* —means-- *the term as it is defined in [Policy 6-001](#) and [Policy 6-500](#) (Curriculum Management and Administration): which provides:*

*“each Degree, Major, Minor, Certificate, or Emphasis is considered to be a Credentialed Academic Program (‘Credentialed Program’). Each such Credentialed Program is offered by a specific academic unit, is conferred by the University, and is awarded by the Office of the Registrar.”*

- B. *Course-offering unit*— means-- as is defined in [Policy 6-100-II](#), (Instruction and

Evaluation), which provides:

"an academic unit authorized to offer credit-bearing courses and bearing primary responsibility for the content, instruction and evaluation of such courses."

### III. Rule.

#### A. Policy 6-001-III-B-2-b-ii provides:

"Principles for initial establishment and subsequent review of academic units with curricular responsibilities.

- A. Curricula Management Process and Plan. An academic unit which has primary curricular responsibility for any Credentialed Academic Program (as defined above—degree, major, minor, emphasis, certificate or other such program of study), or is a course-offering unit of any credit-bearing course, shall have a *curricula management process* for developing, periodically assessing, and modifying the curricula over which that unit has primary responsibility. The process shall be appropriate for the type of curricular responsibilities of the unit, and shall be described in a written *curricula management plan* of the unit.
- B. For new academic units, the curricula management plan shall be included with the proposal for initial establishment of the unit. For existing units, the plan shall be submitted at or before the time of the University's next Seven Year Academic Unit Review of that unit. These plans will be reviewed as part of the University's Seven Year Academic Unit Reviews of academic units, and should also be reviewed whenever a unit undergoes extensive organizational changes significantly affecting the unit's curricula management responsibilities.
- C. This section is intended to be implemented through a University Rule (Rule 6-001CMP) which shall further describe the requirements regarding Curricula Management Processes and Curricula Management Plans, and relevant aspects of the procedures for creation of new academic units and for reviews of existing academic units."

#### B. This Rule 6-001CMP implements the above requirements of Policy 6-001 with the following additional information.

1. The curricula management process, described in the written curriculum management plan, shall include (a) an internal curricular decision-making process, and (b) a schedule and procedures for conducting periodic curricula reviews (specifically including program learning outcome assessment). These shall serve the University's fundamental commitment to

excellence in its teaching mission through continual reevaluation and improvement of curricula.

- a. The unit shall have an internal consultation and decision-making process which places primary responsibility for curricula management decisions with a body comprised mainly of voting- qualified members of the faculty of the unit, and also provides for oversight by another body comprised mainly of voting- qualified faculty members. Consultation with student representatives is encouraged. For example, in a typical structure of an academic department within a multi-department academic college, the process will include formal approval by the voting-qualified faculty of the department (possibly assisted by a designated departmental curricula committee), and consultation or formal approval by a body representative of the college faculty (either the full college council, or a curricula committee of the council).

For any curriculum which is interdisciplinary in nature such that the curriculum management responsibilities are shared by two or more academic units, the process shall include means of formal oversight by representatives of the faculty of all units which share in those curriculum management responsibilities.

- b. The curricula management plan shall include a schedule of procedures for periodically reexamining all curricula over which the unit has primary responsibility.
  - i. The schedule shall provide for (A) a thorough review of every credentialed academic program (degree, major, minor, emphasis, certificate, or other such academic program of study), on a review cycle of no more than seven years, and (B) two interim summary program learning outcome assessment reports within the seven-year cycle (ordinarily in the 3<sup>rd</sup> and 5<sup>th</sup> years). This is to ensure that at least one such thorough curriculum review will have been completed at the time the University conducts each Seven-Year Academic Unit Review of the unit, and that summary reviews addressing learning outcomes will be performed in the interim. The written plan shall describe the roles of any committees and administrative positions responsible for carrying out the scheduled reviews. The University Administration shall designate and adequately support a resource office (Learning Outcome Assessment) to coordinate and provide guidance for such reviews, and to receive review reports.
  - ii. Seven-year thorough review. The procedures for the seven-year-cycle thorough reviews for each such program of study

shall at minimum include: identification of the program expected learning outcomes; and development and implementation of methods for assessing effectiveness in achieving those expected learning outcomes and preparation of a curricula review report.

The unit shall submit a thorough curricula review report which shall include, for each credentialed academic program: (A) description of the credentialed program of study; (B) description of the learning outcomes assessment methods and results; (C) description of the number of students participating in the program of study year-by-year; (D) consideration of the role of the particular credentialed program of study in the larger context of curricula offerings of the unit's parent college, and of the University as a whole; and (E) description of any changes for the program of study made or being contemplated. It shall also describe any changes of the unit's internal consultation and decision-making process for curricula management decisions. The designated University resource office (Learning Outcome Assessment) shall provide a sample report form and other appropriate guidance to assist units preparing their curricula review reports.

The thorough review report shall be approved by the voting-qualified faculty of the unit, presented to the dean of the college and the college council (or delegated committee), and submitted to the designated University resource office (Learning Outcome Assessment). A copy shall be included in materials proved for the University's Seven-Year Academic Unit Review of the academic unit.

- iii. Interim Program Learning Outcome Assessment report. The Procedures for interim summary learning outcome assessment reports (ordinarily 3<sup>rd</sup> and 5<sup>th</sup> years) shall include conducting learning outcomes assessment for each credentialed program of study, analyzing the results, and considering any needed curricular changes.

The unit shall prepare a summary report describing, for each credentialed program of study, the learning outcomes assessment conducted and the results; and describing any substantial changes made subsequent to the most recent thorough or summary review regarding the program of study, or the expected learning outcomes or methods of assessment. The interim report shall be submitted to the designated University resource office (Learning Outcome Assessment), and copies presented to the voting-qualified faculty of the unit, the dean, and the college council (or delegated committee of

the council).

- iv. Any changes to the credentialed program of study following either a thorough or a summary review shall be processed through the University's usual approval procedures as appropriate for the nature and extent of the changes. [See [Policy 6-500](#) Curriculum Administration and Management.]
- c. It is a fundamental principle that the review and reporting process is intended to assist units in ensuring the high quality of the University's curricular offerings, and to avoid imposing undue burdens of work which do not substantially contribute to academic quality. Reports from reviews of more than one credentialed academic program may be combined in a single document when convenient. Units which periodically undergo reviews of curricula by external accrediting bodies are encouraged to coordinate the University's curricula review process with those external reviews for maximum efficiency in use of University resources. The University Administration, in consultation with the Graduate and Undergraduate Councils, will provide technical assistance and guidance for units for developing and implementing curricula management plans, conducting and reporting on periodic curricula reviews generally, and in particular for identifying expected learning outcomes, and developing and implementing methods for assessing effectiveness in achieving expected learning outcomes. The Administration shall designate officers responsible for providing such technical assistance and guidance.

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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. Procedures, Guidelines, Forms and other Related Resources**

- a. Procedures (reserved).
- b. Guidelines.
  - i. Guideline 6-001CMP --Curriculum Management Plan **{Drafting note: the Guideline title is slightly revised, to now use the number 6-001CMP. New link with new title= <https://regulations.utah.edu/info/G6-001CMP.pdf> Old link with old title= <https://regulations.utah.edu/info/G6-001A.pdf> }**
- c. Forms (reserved).

- d. Other related resource materials.

## V. References

[Policy 6-001](#): Academic Units and Academic Governance

[Policy 6-003](#): College Councils

[Policy 6-100](#): Instruction and Evaluation

[Policy 6-101](#): Undergraduate Study & Degrees

[Policy 6-500](#): Curriculum Management and Administration

## VI. Contacts

- a. Policy Owners: (primary contact person for questions and advice): Senior Associate Vice President for Undergraduate Studies and the Office of Learning Outcomes Assessment @ <http://learningoutcomes.utah.edu>
- 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: [Not applicable]

Revision History:

- a. Current version: Revision 0

Approved: Academic Senate April 26, 2021

Approved: Board of Trustees [??] 2021 , with designated effective date of July 1, 2021

Legislative History of Revision 0. {Embed link}

b. Earlier versions: [Reserved]

Proposed new Rule 6-001UACI. Including proposed partial revisions of the main Policy 6-001. **Draft 2021-04-20.**

**{Drafting note: The contents of this new Rule are entirely new, except the excerpted portions of the existing version of Policy 6-001 which are copied here for reader convenience. The proposed changes in the Policy excerpts are shown with redline markings (double underline additions, and ~~double strikethrough deletions~~. For easier reading, the entirely new contents of the Rule are not marked. }**

## **Rule 6-001UACI: University Academic Centers and Institutes. Revision 0. Effective date **July 1, 2021****

### **I. Purpose and Scope.**

#### A. Purpose.

This Rule implements certain portions of [Policy 6-001](#)--Academic Units and Academic Governance, by providing further details regarding the creation and review processes and principles for University Academic Centers and Institutes, as a category of academic units of the University.

#### B. Scope.

This Rule applies to all academic units of the University which meet the definition of a University Academic Center or Institute, as defined and described herein.

#### C. This Rule is intended to implement the provisions of Policy 6-001 regarding UACIs. **{Drafting note: for Senate readers' convenience, copied here are the portions of the main Policy which are also being slightly revised as marked, as part of this UACI project.}**

**Policy 6-001-III. Academic Units and Academic Governance – Roles of Faculties, Committees, Councils, and Academic Senate. Rev. ~~19~~20.**

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

1. Overview: Types of Academic Units. \* \* \* \*
  - b. Academic Departments and Free-Standing Divisions, Colleges (and schools). \* \* \* \*
  - c. Interdisciplinary Academic Programs (of limited authority). \* \* \* \*
  - d. The University of Utah Libraries. \* \* \* \*
  - e. Other Academic Units (Centers and ~~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 University Academic Centers or University Academic Institutes (hereafter "UACIs"), ~~academic centers, academic institutes, and academic bureaus (hereafter "C/I/B")~~.
    - ii. These UACI ~~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~~-UACI units.

~~[Reserved]~~

**The contents of Policy 6-001 regarding UACIs are intended to be implemented through associated Regulations including a University Rule (Rule 6-001UACI) and related UACI Guidance. The Regulations shall (A) further describe the functions of UACIs; (B) set procedures and criteria for creating and periodically renewing/ or discontinuing UACIs; (C) provide for a UACI coordinating committee to manage the processes of creating, reviewing and renewing/ or discontinuing UACIs; (D) ensure that creation and renewal procedures include consultation with other academic units potentially interested in or affected by activities of a UACI; (E) require a formal recommendation of the Academic Senate for creation of new UACIs, and regular reports to the Senate by the UACI coordinating committee; (F) require all new UACIs to have a trial period; (G) require that the organizational and governance structure of each UACI be described in a governance charter with a faculty shared governance body overseeing academic activities and administrative officers overseeing fiscal management and; (H) require each UACI to have a funding and sustainability plan.**

\* \* \* \* \*

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

- a. ~~Except as otherwise specified in this Policy or an associated Rule, p~~Proposals to create, modify, or ~~delete~~discontinue 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.
  - i. Procedures for creation, significant modification, review, and discontinuance of academic units.
    - A. Academic colleges, academic departments, freestanding academic divisions. [Reserved-- work in progress.]
    - B. Interdisciplinary academic programs with curricular responsibilities. [Reserved-- work in progress.]
    - C. University libraries. [Reserved-- work in progress.]

D. University Academic Centers or Institutes. The procedures for creation, significant modification, review, and discontinuance of University Academic Centers or Institutes shall be described in Regulations associated with this Policy, including a University Rule (Rule 6-001UACI) and UACI Guidance.

ii. Principles for ~~initial establishment and subsequent~~ creation and review of academic units with curricular responsibilities. A. Curricula Management Process and Plan. . . . {Drafting note: see separate full length draft of Policy 6-001 and new Rule 6-001CMP for revisions regarding Curricula Management Plans. The lengthy contents of Policy 6-001 on that topic will be moved out of the Policy and into the new Rule, to make them more reader-friendly, but with no substantive changes.}

\* \* \* \* \*

B. Faculties of the University -- Composition and Authority

1. Composition of Faculties. a. \* \* \* 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 or institute ~~or bureau~~ . . . \* \* \*

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

1. 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 or ~~institute~~ ~~or bureau~~), the individuals with direct and/or shared faculty appointments in that unit collectively constitute the faculty of that unit.

2. College faculties. \* \* \* \*

3. 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. The contents of Policy 6-001 regarding University Academic Centers or Institutes (UACIs) are intended to be implemented through associated Regulations, including a University Rule (Rule 6-001UACI), and UACI Guidance." \* \* \* \*

**Policy 6-001 Revision 20.**

**#####**

**D. This UACI Rule is intended to be accompanied by Guidance materials to further implement the contents of this Rule and the provisions of Policy 6-001 regarding UACIs. Guidance materials must be consistent with this Rule, and shall be approved by the UACI Coordinating Committee, after consultation with the Senate Executive Committee, and presented on the Information and Recommendations Calendar of the Academic Senate.**

- E. In the third and again in the seventh year after this new Rule first takes effect, there shall be reviews and reports regarding the implementation of this Rule and current University practices regarding creation and review of UACIs, with consideration of any need for revisions of the relevant Regulations or practices. The UACI Coordinating Committee shall oversee the reviews and arrange presentation of the reports to the University President and the Academic Senate, and the Senate shall consider whether a special committee of the Senate should be formed and directed to conduct any follow-up reviews.

## II. Definitions

The following definitions apply for purposes of this Rule and its associated Regulations.

- A. *University Academic Center or Institute (UACI)* – means – any unit of the University which has the characteristics of a UACI and is by decision of the UACI Coordinating Committee (or University President) determined to be subject to the requirements of this Rule as a UACI consistent with Policy 6-001 and this Rule. An “*approved UACI*” – means a unit which through procedures required by this Rule has been finally approved to operate for a specified period of time, in either Initial Phase Authorization status, or Continuing Authorization status.
- B. *UACI Coordinating Committee* – means – the University Committee created under authority of Policy 6-001 and this Rule, with membership and functions as provided in this Rule and further explained in approved UACI Guidance.
- C. *UACI Formal Proposals, or Applications.*
1. *UACI Formal Proposal* – means – a proposal submitted to the UACI Coordinating Committee regarding a UACI, including (a) a *Formal Proposal to Create a New UACI with Initial Phase Authorization Status*, or (b) a *Formal Proposal for Continuing Authorization Status of a new UACI*.
  2. *UACI Application* – means--- (a) a *UACI Application for Renewal of Continuing Authorization Status*, or (b)/(c) a *UACI Application for Name Change/ or other Substantial Change*.
  3. *UACI Funding and Sustainability Plan* -- means – a written plan describing the sources and types of funding or other support identified or anticipated for a UACI, demonstrating sustainability of its operations and activities for an appropriate time period. Such Plans are included with each UACI Formal Proposal and each UACI Application for Renewal of Continuing Authorization Status.
- D. *UACI Governance Board, and Governance Charter.*

1. *UACI Governance Board* -- means – a body formally established for each approved UACI which serves the fundamental principles of faculty shared governance and academic integrity by providing faculty input and oversight of the academically significant activities and operations of that UACI, participating in annual reporting and periodic reviews of that UACI, and providing input in periodic reviews of that UACI's Primary Administrator as conducted by the University administration.
2. *UACI Governance Charter* – means a written description of the organizational structure and the procedures by which administrative decision-making actions, academic shared governance decision-making actions, and advisory activities are conducted for a UACI, including description of the makeup and functions of the UACI Governance Board, and any advisory body, description of the procedures followed for advisory activities and decision-making actions, and description of procedures for conducting regular reviews of the UACI's Primary Administrator (and if appropriate subordinate administrators). A Charter must be approved by the UACI's Oversight Administrator(s) and the UACI Coordinating Committee, and a copy shall be included as part of any Formal Proposal for Continuing Authorization Status, or Application for Renewal of Continuing Authorization Status. A fully approved Charter will remain in effect until a revised version is fully approved.
3. Approved UACI Guidance shall provide further details of the membership and functions of a Board, and the form and contents of a Charter, consistent with these baseline requirements and fundamental principles:
  - a. The voting members of the Board shall include a majority who hold tenure-line or career-line faculty appointments at the University, and **at least ¼ of the voting members** shall be reasonably independent of the UACI's Primary Administrator (not primarily employed by the UACI under supervision of the Primary Administrator, and in other respects not subject to direct and substantial financial or other influence of that administrator). The UACI's Primary Administrator may serve in a non-voting ex officio capacity, or be authorized to vote only to break a tie, but otherwise shall not vote, and may serve as chairperson of the Board. Other administrators who report to the Primary Administrator may serve as non-voting ex officio members. Students, and staff employees may serve in either non-voting or voting roles, so long as the faculty hold the majority of voting positions. Members may be selected by appointment of the UACI's Oversight Administrator or election or ratification by a designated body of faculty members involved with the UACI, or a combination of the above. The UACI's Primary Administrator may recommend, but shall not ultimately decide on selection of any voting member.
  - b. Persons from outside the University may serve a UACI in an advisory capacity, including on any structured advisory body, but shall not serve on the UACI's Governance Board in any capacity,

voting or non-voting. No major financial donor, or representative of such donor, shall serve on the Governance Board (this is not intended to preclude Board membership of a faculty member, administrator, or staff employee who makes relatively minor donations for activities of the UACI, such as to a fund supporting student activities).

- E. *UACI Guidance* --- means – any Guidance materials that are approved under authority of this Rule to provide additional information regarding creation, reporting and review, renewal or discontinuance, or operations of UACIs.
- F. *UACI Administrators (Primary and Oversight)*.
  - 1. *UACI Primary Administrator* – means the Director(s) or otherwise titled administrator(s) of a particular UACI authorized under this Rule, with direct and primary responsibility for financial management and other administration of the UACI and supervisory authority over any employees of the UACI.
  - 2. *UACI Oversight Administrator* – means the cognizant dean(s) or vice president(s) (or designees), with direct supervisory authority over a UACI’s Primary Administrator, and administrative oversight responsibility over the budget and operations of the UACI.
- G. *UACI Registry* means — the list of UACIs with current basic information about each UACI, which under this Rule is created and maintained by the UACI Coordinating Committee, and made available to members of the University community.

## II. UACI Rule.

### A. UACI Coordinating Committee — Membership and Functions.

#### 1. Membership

The University Academic Centers and Institutes Coordinating Committee (“UACI Coordinating Committee”) is hereby established.

a. Membership. The Committee is comprised of the following **nine** voting members, who shall be charged to represent the interests of the University broadly, and not any specific academic unit or area of the University:

i. Three administrative officers (or their designees), appointed by the University President, with terms continuing during their terms of office, which unless otherwise specified by the President for a particular academic year shall include:

The Dean of the Graduate School/ Chair of the Graduate Council; Vice President for Research; and Vice President for Institutional Advancement.

- ii. One Senate-elected representative of the faculty—the President of the Academic Senate (or designee) during the term in office.
  - iii. Five Tenure-line or Career-line faculty members, appointed to three-year staggered terms (July 1 to June 30), limited to two consecutive terms, including:
    - a. One, appointed by the President of the Academic Senate and ratified by the Senate Executive Committee, with relevant expertise which may be from experience as a member of the Senate Executive Committee.
    - b. Four, appointed by the President of the University after consultation with the existing members and the Senate Executive Committee, with relevant expertise. At least two should have experience with UACIs, typically by being a current or recent past Primary Administrator of a UACI, or member of a UACI Governance Board, or having participated in thorough reviews of UACIs and other academic units.
- b. Leadership and administrative support. The President of the University shall appoint one or both of the Dean of the Graduate School and Vice President for Research (or their designees) to serve as chairperson or co-chairpersons (voting), and to provide administrative and staff support for the activities of the Committee. Support may be provided from other units, including the Office of Curriculum Administration or other unit with responsibilities for creation or review of academic units.
- c. Excusal and substitutions. If any voting member has a substantial connection with a UACI that is being considered by the Committee, or other basis for a significant conflict of interest or bias, that member shall inform the other members, and the other members shall determine whether (i) the potential conflict is sufficient to require excusing that member from the consideration of that UACI, and (ii) whether to request that the University President or current chairperson appoint a temporary substitute for that excused member.
- For any member absent for any reason, the President or current chairperson may appoint a temporary substitute qualified to fill the absentee's position.

## 2. Functions:

The Committee shall (a) review and make recommendations regarding Letters-of-Intent approval to proceed, and Formal Proposals for new UACIs; (b) review and make recommendations regarding requested exceptions for abbreviated procedures for new or established UACIs consistent with this Rule; (c) review all periodic reports of UACIs and make recommendations regarding renewals and discontinuances of UACIs; (d) approve forms,

procedures, and schedules for use regarding creation, reports, and reviews of UACIs; (e) contribute to developing new or revised Regulations and Guidance materials regarding UACIs; (f) maintain a file regarding each UACI; (g) maintain a UACI Registry available to members of the University community with current basic information about every UACI; (h) report at least annually to the University President and the Academic Senate regarding the Committees activities, including the number and status of UACIs in existence, UACI proposals processed since the most recent report, and other matters as requested; and (i) otherwise participate as appropriate in the implementation of this Rule.

3. Further explanation regarding the Committee (including membership, administrative support, and functions) shall be provided in approved UACI Guidance.

## **B. Types of UACIs, Defining Characteristics, and Distinguishing UACIs From Other Types of Academic Units or Other Administrative Units.**

1. UBHE and University Policy defining UACIs.

The Utah Board of Higher Education Policy governing the University and other institutions within the Utah System of Higher Education requires the University to notify the Commissioner of Higher Education of the creation of “Centers, Institutes, or Bureaus” so that they “may be examined to ensure they are congruent with the institution’s mission....” It describes such units as:

“Centers, Institutes, or Bureaus. Administrative entities that primarily perform research, instructional, or technology transfer functions and are intended to provide services to students, the community, businesses, or other external audiences, or to obtain external funds.” (USHE-UBHE, R401). <https://ushe.edu/policies/>

In turn, University Policy 6-001—Academic Units and Academic Governance, Rev. 20, provides for a category academic units referred to as “University Academic Centers or Institutes,” to be further described and defined through this Rule. (**Note:** *Current Policy 6-001 does not contemplate future use of the formerly used term “Bureau.”*)

2. UACIs as Academic Units, Supportive and Complementary to Academic Departments and Colleges.
  - a. As provided in Policy 6-001, a UACI is an academic unit of the University. Academic departments and colleges are the primary academic units through which members of the University community conduct activities to carry out the University’s academic missions, and UACIs provide additional structure and support for those activities, in roles complementary and supportive of the academic departments and colleges. A UACI differs from those primary academic units in important respects, including that ordinarily:

- i. A UACI is not authorized to appoint faculty members (i.e. not a “*faculty-appointing unit*” per Policies 6-001 and 6-302). University faculty members may be affiliated with a UACI in one or more ways, but each must have a primary faculty appointment in another authorized unit—usually an academic department.
    - ii. A UACI is not authorized to directly offer for-credit curriculum (i.e., not a “*course-offering unit*” per Policies 6-001 and 6-500). A UACI may support and assist in the development and offering of curriculum, but that curriculum must be offered by another authorized unit — usually an academic department, which retains primary responsibility for the curriculum. A UACI may provide important educational experience opportunities for University students, such as internships, research projects, conference participation, and other practical experience activities, but any academic credit awarded based on those experiences is awarded by another authorized unit.
  - b. A UACI may be administratively situated within an academic department or a single academic college (with the UACI’s Primary Administrator reporting directly to the dean of that college as the UACI’s Oversight Administrator), or in collaboration between two or more colleges (with the UACI administrator reporting to one or both deans), or in exceptional instances administratively situated outside of any academic college (with the UACI’s Primary Administrator reporting directly to one or more vice-presidential officers).
3. *Academic Center or Academic Institute.*  
 This Rule does not provide for strict categorical distinctions between Academic Centers and Academic Institutes, and ultimately a choice between these two subcategories will be left to the judgment of the University President in consultation with the UACI Coordinating Committee and following approved UACI Guidance, taking into consideration all relevant circumstances. In general, an Academic Center will typically be smaller and have a narrower set of activities, and an Academic Institute will be relatively large, with an extensive breadth of activities, and supported by an endowment and/ or extensive external funding, and this category will be reserved for very few units.
4. Various types of UACIs.
- a. To the extent useful for the processes of creating, reviewing, and renewing UACIs, approved UACI Guidance materials should recognize various types of UACIs, which may include:
    - i. Gift Agreement Established Center or Institute (created in conjunction with an external donor gift, with various aspects subject to terms of the gift agreement consistent with

- University Regulations);
- ii. Sponsored Research or Grant-Established Center (typically created in conjunction with specific opportunities for support from external grant agencies, foundations or business entities); or
  - iii. General Academic Center or Institute (typically multiple sources of funding, and broad scope of activities including research, educational experiences and services).
5. Other types of entities not considered UACIs governed by this Rule.
- a. The University carries out its mission through a great number and variety of academic units and non-academic units. Distinguishing between the various other units and those that come within the scope of Regulations applicable for UACIs requires careful consideration of the nature and activities of the unit, rather than relying on the name alone. Approved UACI Guidance should provide further explanation of criteria and procedures for determining which units are or are not included within the scope of this Rule, including the following concepts and principles:
    - i. A University “Academic Center” or “Academic Institute” is different from a facility or other non-academic unit which may bear the name of “center” or “institute” but which has as its primary mission providing a service or administrative support to members of the University community or external communities.
    - ii. Individual or small groups of faculty members often carry out some activities similar to those of a UACI, typically academic research, through a non-UACI form, which may be referred to as a faculty-managed “Lab,” “Initiative,” “Consortium,” “Working Group,” or simply “Project,” and typically on a smaller scale than a UACI. Such a form will typically be approved by the cognizant Department Chair and Dean, and not be considered a UACI for purposes of this Rule.
  - b. Any question about whether a particular unit should be classified as a UACI, or as another type of entity not governed by this Rule shall be resolved by the UACI Coordinating Committee (subject only to a request for reconsideration and final decision specifically granted by the University President or designee).

### **C. New UACI Authorization Phases and Discontinuance Procedures.**

1. Authorized status and renewals.
  - a. Initial Phase Authorization Status (3-year period). A newly approved

UACI will ordinarily first be approved to operate with the status of *Initial Phase Authorization*, usually for three years (or less in appropriate cases specifically approved by the University President).

- b. Continuing Authorization Status—first period (5-year period). In the final year of the Initial Phase, a new UACI may be considered to be approved for a period of *Continuing Authorization Status*, which ordinarily in the first instance will be for a five-year period.
- c. Renewed Continuing Authorization Status (7-year periods). Upon satisfactory reviews at the conclusion of each period, a UACI's Continuing Authorization Status may be renewed for successive renewal periods of seven years (a length the University has chosen to coincide with the seven-year review process for academic departments as required by UBHE-USHE Policy and University Regulations).

2. Discontinuance /or non-renewal.

- a. A UACI that is not approved for Continuing Authorization Status by the conclusion of the Initial Phase Authorization period, or that is not approved for renewal by the conclusion of a period of Continuing Authorization Status, will be discontinued (unless otherwise specifically directed by the University President after consultation with the UACI Coordinating Committee). The Coordinating Committee shall inform the President of the circumstances for the discontinuance, the President shall notify the Board of Trustees, and the discontinuance shall take effect upon notice to the Trustees, unless a later date is otherwise specified.
- b. A UACI may also be discontinued at any other time by decision of the University's Board of Trustees, upon a recommendation of the University President made after consultation with the UACI Coordinating Committee, based on a determination that discontinuing the UACI serves the best interests of the University. The President (or designee) may also suspend activities of a UACI pending consideration of such a recommendation of discontinuance, as appropriate in the best interests of the University. Further explanation of criteria and procedures for non-renewal and discontinuance may be provided through approved UACI Guidance.

**D. Procedures for Creation of New UACIs.**

1. Overview of UACI creation steps, and general concepts.
  - a. The major steps in the process of creating a new UACI include (i) identification and consultation with interested and potentially affected University units and individuals, (ii) submission of a UACI Letter of Intent, and upon receipt of permission to proceed, (ii) submission and consideration of a UACI Formal Proposal for Initial Phase Authorization,

(iv) operation of the UACI for three-year period with Initial Phase Authorization Status, and (v) submission and consideration of a UACI Formal Proposal for Continuing Authorization Status.

As further described in Section III-F below, this Rule provides for certain types of exceptions to the ordinarily required steps for creation of a UACI.

As further described in Section III-G below, once a UACI has gone through its first period of Continuing Authorization Status (5 years), the procedure for considering authorization to operate for successive periods of Continuing Authorization Status (7 years) includes submission and consideration of a ***UACI Application for Renewal of Continuing Authorization Status***. And at any point during its existence, the procedures for considering a change of name or a substantial change of a UACI include submission and consideration of a ***UACI Application for Name Change /or other Substantial Change***.

- b. These procedures for creating and renewing UACIs are intended to:
  - i. Maintain clarity, transparency, and fairness throughout the creation/renewal process.
  - ii. Preserve academic freedom, and ensure academic integrity and rigor as fundamental principles, by providing for robust faculty shared governance while ensuring operational functionality and academic independence of UACIs, including independence from funding sources.
  - iii. Promote coordination, collaboration, and cooperation with existing academic units (colleges, departments, and other UACIs), and avoid of conflicts-of-interest and harm to other units that would be detrimental to the overall best interests of the University.
  - iv. Facilitate members of the University community actively collaborating on projects of common interest across departmental and college boundaries to effectively and efficiently carry out the missions of each unit and the overall mission of the University.
- c. Coordination of internal University procedures with UBHE-USHE notice procedures.

To comply with the UBHE-USHE Policy requirement of notifying the Commissioner of Higher Education of any new center or institute, the Guidance and forms approved under authority of this Rule for the University's internal procedures, particularly those for UACI Formal Proposals, should be designed to efficiently coordinate with that notification process to the extent feasible, while ensuring that the University's internal procedures fully comply with the specific requirements and general principles of this Rule.

## 2. Letter of Intent (Intent Letter) to Create a New UACI.

- a. Any member of the University community seeking to create a UACI

shall begin the formal steps in the creation process by submitting to the UACI Coordinating Committee a *Letter of Intent to Create a New UACI* (“*Letter of Intent*” or “*Intent Letter*”).

- b. As described below, preparation for a Letter of Intent and for a subsequent Formal Proposal requires consultation with administrative officers with oversight responsibilities and with representatives of other interested or potentially affected units. Ordinarily that preparation preceding formal submission of a Letter of Intent should include consultation with the cognizant Senior Vice President(s), and approved UACI Guidance should further describe procedures for such consultation and other aspects of preparation preceding a Letter of Intent.
- c. Upon receipt of the Intent Letter, the UACI Coordinating Committee shall ensure that its contents are complete, and when complete shall submit it to the cognizant Senior Vice President(s), and to the attention of the Council of Academic Deans for opportunity to provide comments to the Committee and the designated project representatives.
- d. After a reasonable opportunity for comment, the Committee shall review the Intent Letter and any received comments, and issue a written decision to either (i) GRANT PERMISSION TO PROCEED to a Formal Proposal, (ii) CONDITIONALLY GRANT PERMISSION TO PROCEED to a Formal Proposal with specified conditions, or (iii) DENY PERMISSION to proceed to a Formal Proposal.
- e. The University President may, upon request and for good cause shown in the overall best interests of the University, overturn an unfavorable decision of the Committee and GRANT PERMISSION TO PROCEED to a Formal Proposal.

Approved Guidance may further describe procedures for consultation with Deans or others, Coordinating Committee review and decision-making, and appeal to the President.

### 3. Formal Proposal to Create New UACI with Initial Phase Authorization.

- a. A designated representative granted permission to proceed after a Letter of Intent may prepare and submit a Formal Proposal for Initial Phase Authorization of the UACI.
- b. Shared governance and formal recommendations regarding approval.
  - i. The final decisions on creation of a new UACI are made by the University President and Board of Trustees. Consistent with the University’s shared academic governance structure, prior to those final decisions, this Rule requires consideration of a Formal Proposal by specified administrative officers, and by bodies representative of the University community (including the

- Academic Senate). Each of the specified officers and representative bodies shall after consideration make a formal “RECOMMENDATION TO THE PRESIDENT” regarding the Proposal, which recommendation shall be “FOR APPROVAL,” or “FOR CONDITIONAL APPROVAL” (with specified conditions), or “AGAINST APPROVAL.”
- ii. If an unfavorable recommendation is given at any step prior to the action of the University President, the proposal representatives may choose to continue through the remaining steps to seek final approval (with or without modification of the proposal), or may stop the process without seeking final approval. In making the final decisions, the President and Board of Trustees will be apprised of and consider the FORMAL RECOMMENDATIONS given by each of the specified officers and representative bodies.
  - iii. In addition to the required opportunities for Formal Recommendations from specified officers and representative bodies, this Rule requires that designated representatives preparing a Formal Proposal also make reasonable efforts to identify, consult with and take into consideration input received from interested or potentially affected University units and individuals, and such consultation should ordinarily occur prior to submission of a Formal Proposal to the UACI Coordinating Committee.
- c. The steps to approval of a Formal Proposal for Initial Phase Authorization or of a Formal Proposal for Continuing Status Authorization shall include the following (and approved UACI Guidance may further describe the procedures).
- i. Consideration and Recommendation by the administrative officer(s) who would become the UACI’s Oversight Administrators (with authority over the UACI’s Primary Administrator and budget and operations of the UACI — e.g., cognizant dean(s) / vice president(s)).
  - ii. Consideration and Recommendation by the cognizant Senior Vice President(s).
  - iii. Consideration and Recommendation by the UACI Coordinating Committee, after consultation with the Graduate Council. The Committee shall inform the Graduate Council of the proposal and invite and consider any commentary from the Council members. See Section III-H below regarding Council input on naming of a UACI.
  - iv. Presentation to the Senate Executive Committee for Consultation, and then placement on the Academic Senate Debate Calendar.

v. Consideration and Recommendation by the Academic Senate (Debate Calendar—majority vote).

vi. Consideration and Recommendation by the University President (or designee).

vii. If approval recommended by President -- Consideration and final decision on approval by the Board of Trustees. (Followed by any required action of the Utah Board of Higher Education.)

d. Notification and records of final decision.

i. Upon issuance of a final decision by the President and Board of Trustees, the UACI Coordinating Committee shall notify the designated project representatives, and each of the officers and representative bodies that have provided formal recommendations.

ii. If the UACI is approved, the notices shall specify the date on which the UACI will be authorized to begin operations, the time period for which it is authorized, and the applicable reporting requirements during that period. If the approval was conditioned upon revision of the Formal Proposal, the designated representatives shall submit the appropriately revised Proposal to the Coordinating Committee.

iii. If the proposal is not finally approved, the UACI Coordinating Committee shall provide written notice of that decision to the proposal's designated representatives and each of the officers and representative bodies that provided formal recommendations.

iv. The Coordinating Committee shall update the UACI Registry, and the University President (or designee) shall submit such notice as is required to the Commissioner of Higher Education.

#### **E. Contents of Proposals, Intent Letters, and Applications, and Fundamental Principles for Creation and Review of UACIs.**

1. This Rule here primarily describes the contents required for the two most extensive proposals required for a UACI -- a Formal Proposal to Create a new UACI with Initial Phase Authorization Status (3 years), and a Formal Proposal for Continuing Authorization Status (5 years). It secondarily describes only some basic aspects of the contents required for a Letter of Intent to Create a new UACI (which precedes the Initial Phase Formal Proposal), a UACI Multi-Year Review Report and Application for Renewal of Continuing Authorization Status (which come in later years), or a UACI Application for Name Change or other Substantial Change, and further details for those shall be provided through approved UACI Guidance.

2. All Intent Letters, Formal Proposals, and Renewal Applications shall demonstrate compliance with these **UACI fundamental principles**.

- a. The mission of the UACI is consistent with the mission of the University.
  - b. The mission of the UACI and the benefits its activities would provide cannot be accomplished in an efficient and effective manner by existing academic units (departments, colleges, or other UACI's) without formation/ or continuation of the UACI. And the mission and benefits cannot be appropriately accomplished through other available less formal alternative organizational means, such as a laboratory, research group, project, or initiative, so that a formally established UACI is the most appropriate organizational form.
  - c. The mission and academic activities of the UACI do not substantially replicate the mission and academic activities (e.g., functions, offerings, topics) of an existing academic unit (e.g., academic department, college, or other UACI).
  - d. For a new or substantially changing UACI, representatives have sought input from participating or otherwise significantly affected academic units, other interested units or individuals, and resulting input is appropriately accurately documented and addressed.
  - e. The UACI's overall organizational structure serves the University's fundamental values for fiscal oversight, rigor in academic activities, and faculty shared governance, with a UACI Governance Board as a primary feature of that structure.
  - f. The organizational structure, mission, and activities of the UACI are consistent with the terms of any donation agreement, grant, or contract with any funding source for the UACI, and those terms are not inconsistent with any fundamental principles of the University.
  - g. The UACI has a transparent Funding and Sustainability Plan, which demonstrates sufficient and sustainable funding consistent with its size and mission, and its history and the specific authorization status sought.
  - h. Overall, the UACI provides significant additive value to the University such that creating or renewing it will "*serve the best interests of the University.*"
3. A Formal Proposal for Initial Phase Authorization (3-year period), and a Formal Proposal for the first period of Continuing Authorization (5 years) shall include the following contents, in such form and with such supporting materials as specified by approved UACI Guidance.
    - a. Designated representatives and contact persons for the Proposal.
    - b. UACI mission and activities, corresponding proposed type of UACI, and proposed name. With explanation of:
      - i. Benefits the UACI's activities will provide for the University, with explanation of how the mission and activities will overlap with, complement, or be distinct from activities of other

- University units, and how the added value from the UACI will be consistent with the University's overall mission.
- ii. Performance metrics—how and when the performance of the UACI will be measured, annually and for each multi-year period of authorized operation.
- c. Organizational structure, including: (i) UACI Primary Administrator position(s) and UACI Oversight Administrator reporting lines for fiscal management; (ii) anticipated internal UACI employee positions; (iii) preliminary identification of anticipated initial personnel of the UACI, with summary of their qualifications; (iv) shared governance structure (with attached draft *UACI Governance Charter* describing *UACI Governance Board*); (v) any advisory body or advisory input structure; (vi) preliminary list of specific individuals expected to be affiliated with although not employees of the UACI (including faculty members and other personnel of the University, and persons external to the University) and any existing or anticipated structures for organizing such affiliations; and (vii) description of any anticipated roles for or involvement of students or academic staff/ educational trainees in the organizational structure.
  - d. Funding and Resources.
    - i. Funds and other resources anticipated to be needed for the UACI activities for at least the period of time encompassed by the Proposal/ or Application (3/ 5/ 7 years).
    - ii. A ***UACI Funding and Sustainability Plan***, describing committed or anticipated sources and amounts of funding for at least the encompassed time period.
  - e. Consultation, support, and activities overlap and impact description.
    - i. Description adequate to demonstrate that information about not only positive effects but also potential negative effects that creation or continuing operation of the UACI would have on other University units or individuals has been reasonably gathered and appropriately considered. Ordinarily includes describing any areas of substantial overlap with missions and activities of other units and any anticipated substantial redirecting of funding or other resources away from other units to the proposed UACI, describing consultation with those units, summarizing received comments or other consultation results, attaching received letters of support or of potential impact with negative effects, and providing explanations of means for minimizing any identified potential negative effects and enhancing beneficial effects on other units.
    - ii. Approved UACI Guidance shall further describe best practices for identifying and consulting interested and potentially affected University units and individuals, and appropriately

describing consultation efforts and resulting consideration of potential benefits and impacts.

#### **F. Exceptions for Abbreviated Procedures to Attain Authorized Status.**

1. As alternatives to the ordinarily required approval process provided in Part III-D above, the following are exceptions by which a unit not previously formally authorized to conduct operations as a UACI under authority of this [new] Rule may attain authorized status without certain ordinarily required steps and/ or without meeting certain otherwise required criteria.
2. Exception for existing units to attain UACI Continuing Authorization Status.
  - a. An exception may be granted, for an existing unit of the University, to abbreviate the overall process to attain Continuing Authorization Status, through one or more of these variations: (i) eliminating the ordinarily required Letter-of-Intent process; (ii) shortening the Initial Phase Authorization period to fewer than the ordinary three years; (iii) entirely eliminating the ordinarily required Initial Phase Authorization period and so advancing directly to a proposal for Continuing Authorization Status; or (iv) using a shortened proposal form for and abbreviating the process for a Formal Proposal for Continuing Authorization Status.
  - b. Such an exception may be granted for an academic unit which (i) existed prior to the first effective date of this Rule and (ii) for at least three years has conducted activities substantially similar to those characteristic of an authorized UACI, but was not formally approved as a UACI through the process prescribed by this Rule.
  - c. Such an exception may also be granted for an academic unit which (i) was finally approved to operate as an academic Center or Institute under the University Regulations and procedures applicable for such approvals prior to the first effective date of this Rule, and (ii) has since that approval continuously operated in accord with the terms of that approval. Provided, however, if that prior approval was only for temporary status, for any period of less than seven years (formerly sometimes referred to as “provisional”) and the unit had not been approved for the former equivalent of Continuing Authorization Status prior to this Rule’s effective date, then an exception may be granted to abbreviate or eliminate the steps of a Letter of Intent, and a Formal Proposal for Initial Phase Authorization, but shall not abbreviate or eliminate the requirement of completing at least three years operating with temporary status and then completing the ordinary process required by this Rule for submitting and attaining approval of a Formal Proposal for Continuing Authorization status.
  - d. No unit shall be approved as a UACI with Continuing Authorization Status through such exception unless the unit is in compliance with the fundamental principles for UACIs as provided in Policy 6-001 and this Rule, including particularly that the overall organizational structure serves the University’s fundamental values for fiscal oversight, rigor in

academic activities, and faculty shared governance, with a UACI Governance Board as a central feature of that structure as described in an approved UACI Governance Charter. (And see Section III-G below, similarly requiring that any unit undergoing a multi-year review with an Application for Renewal of Continuing Authorization Status must demonstrate compliance with these fundamental principles.)

- e. A request for an exception for an existing unit under this Section III-F-2 should be submitted first to the UACI Coordinating Committee for its recommendation, and then to the University President (or designee) for final approval, with notice regarding approval given to the UACI designated representative specifying which otherwise applicable procedural steps and requirements are to be modified.
  - f. Approved UACI Guidance should include forms, procedures, and explanation of criteria for such exceptions. The UACI Coordinating Committee shall include in its reports to the Academic Senate brief descriptions of all instances in which any such exception granted results in an existing unit being approved for Continuing Status Authorization under this Rule.
  - g. By the end of its third year of operation, the UACI Coordinating Committee shall develop and begin implementing a plan and schedule for applying the provisions of this Rule (including any appropriate exceptions described here) to existing units which conduct activities substantially similar to those characteristic of an authorized UACI. That plan shall include a requirement that any such existing unit which is not yet organized and operating consistent with the fundamental principles of [Policy 6-001](#) and this Rule (as judged by the Committee) shall make such changes as needed to attain consistency with those principles by the fourth year of this Rule being in effect (unless extended by the University President in an extraordinary case to no further than the seventh year). The UACI shall include description of this plan and updates on its implementation in its regular reporting to the Academic Senate.
3. Exception-- Expedited Process for New Unit to Attain Initial Phase Authorization Status Due to Urgent Circumstances.
    - a. The University President may grant an exception to allow expediting of the overall process for consideration of a Formal Proposal for Initial Phase Authorization of a new UACI, if the President determines that such expedited processing is necessary due to urgent circumstances and is in the overall best interests of the University.
      - i. Such an expedited process approved by the President may include having the Senate Executive Committee, rather than the Academic Senate, receive, consider, and submit a

- Recommendation regarding a particular Formal Proposal for Initial Phase Authorization of a new UACI.
- ii. If so requested by the University President, the Executive Committee may approve further expediting the process by performing its required role at a specially called meeting, or through individual polling of members by electronic means without holding a meeting.
  - iii. This provision is intended to allow shortening the overall proposal process by abbreviating but not eliminating the important involvement of the Senate and the constituencies it represents, including by allowing proposals to proceed more rapidly than the regular Senate meeting schedules would accommodate.
  - iv. In addition to abbreviation of the Senate role, the University President may direct the UACI Coordinating Committee to expedite its processing of the Formal Proposal (and expedite the role of the Graduate Council), direct the Committee and the Council of Academic Deans to expedite their processing of the Letter of Intent preceding the Formal Proposal, and direct that special assistance be provided to enable expediting of any step in the overall processes.
  - v. To grant an expediting exception abbreviating the Senate role, the University President shall make and submit to the UACI Coordinating Committee and the Senate Executive Committee a notice which specifies the urgent circumstances particular to the involved proposal for a new UACI, makes a determination that the extraordinary use of expedited processing is necessary due to such urgent circumstances, and specifies which expediting measures authorized under this Rule are directed to be taken, or are requested.
  - vi. Approved UACI Guidance should further describe types of urgent circumstances which may justify an extraordinary use of expedited processing. At a minimum the circumstances must be such that following the ordinary more deliberate and slower overall process would pose a substantial risk of loss of some important opportunity for advancement of the University's mission, using the expedited process would significantly reduce that risk, and so there is adequate justification for truncating the faculty shared governance role of the Senate, as well as abbreviating other steps.
  - vii. If an exception is granted, then after the Letter of Intent process is completed and a Formal Proposal for Initial Phase Authorization (3 years) is acted on by the Senate Executive Committee, the Recommendation of the Executive Committee, substituting for that of the Senate, shall be

included as the proposal is processed through the remaining steps (action by the University President and Board of Trustees). The expedited action taken by the Senate Executive Committee as substitute for the Senate and the final outcome of the proposal shall be reported on the Information and Recommendations Calendar of the next Academic Senate meeting (for questions and comments). A UACI approved for Initial Phase Authorization Status through this expedited process shall not under any circumstances be authorized to operate beyond three years without a Formal Proposal presented to and acted upon by the Academic Senate itself.

4. Exception-- Variations of Approval Phases Based on Special Circumstances. The University President (or designee), after consultation with the UACI Coordinating Committee, may approve extending or shortening (i) by one year the Initial Phase Authorization Period (ordinarily 3 years), or by one or two years the first period of Continuing Authorization Status (ordinarily 5 years), of a new UACI to accommodate requirements of a grant or similar special circumstances, if doing so is in the overall best interests of the University.

#### **G. Procedures and Requirements for Reports, Reviews, and Renewals of UACIs; and Exceptions.**

1. Each authorized UACI's Administrators shall submit to the UACI Coordinating Committee a brief *Annual UACI Report* for each year of operation.
2. If operation of a UACI is proposed to be continued beyond the final year of its Initial Phase Authorization period (3 years), the Administrators shall submit a *Formal Proposal for Continuing Authorization Status*, as described in Section III-D above.
3. Each UACI with Continuing Authorization Status shall at the end of each multi-year period of such status undergo a review with a Multi-Year Review Report.
4. A UACI's Annual Reports and Multi-Year Review Reports shall be approved by the UACI's Oversight Administrator and its Governance Board, and submitted to the UACI Coordinating Committee, with form and contents as specified in approved UACI Guidance.
5. The Primary Administrator (and as appropriate any subordinate administrators) of each UACI shall be reviewed briefly each year, and more thoroughly at the midway and end points of each multi-year period of the UACI's operation with Continuing Authorization Status, through processes described in the UACI's approved Governance Charter, consistent with approved UACI Guidance, which shall include consultation with the UACI's Governance Board.
6. If operation of a UACI with Continuing Authorization Status is proposed

to continue beyond the final year of the current authorization period, i.e., to be renewed for another period, the Administrators shall submit to the Coordinating Committee an *Application for Renewal of Continuing Authorization Status*, combined with the Multi-Year Review Report for the current period.

The criteria, procedures, and forms for a combination of a Multi-Year Review Report and an Application for Renewal shall be as specified in approved UACI Guidance, with procedures and forms promoting efficiency and avoiding undue burdens on participants.

- a. The criteria shall include assessment of: the alignment of the UACI's mission and activities with the mission of the University; the UACI's unique significant contributions to that mission; the quality and quantity of results from the activities -- such as scholarly output, educational experiences for students, or community engagement; the adequacy of current financial and other resources and sustainability for the future; the beneficial or non-beneficial effects on other units; and needs and opportunities for improvement, and for growth if appropriate. The information provided must demonstrate compliance with the fundamental principles for UACIs described in [Policy 6-001](#) and this Rule.
- b. The materials and procedures, facilitated by the UACI Coordinating Committee, will include these.
  - i. A self-study description from the UACI representatives, describing the operations and activities of the covered period, summarizing results of any quantitative/ qualitative formal evaluations conducted of the activities, assessing relatively successful or problematic areas of operation, and identifying any needs and opportunities for improvement, incorporating input from the Primary and Oversight Administrators, and the UACI Governance Board members, and if appropriate input from any advisory body. Commentary may be invited and included from affiliated University community members and/ or external community representatives sufficiently knowledgeable about the activities (e.g., participants or beneficiaries of service activities).

If significant concerns were previously explicitly raised about overlap of the UACI's mission and activities with other University units, or other potential negative effects on such units, information should be included to assist the Coordinating Committee in assessing the current extent of such concerns.
  - ii. An updated Funding and Sustainability Plan.
  - iii. Description of any substantial changes made to fundamental characteristics of the UACI (e.g., mission or activities,

organizational structure) as compared to the most recently submitted previous descriptions. (And if any such changes are contemplated to occur after renewal, those should be specifically described for the Application for Renewal.)

- iv. Upon receipt of the materials from the UACI, the UACI Coordinating Committee shall inform the Graduate Council and invite and consider commentary from the Council members, and in its discretion may invite and consider commentary from any members of the University community or other interested persons. The Committee may request from the UACI additional information, or require or suggest revisions to any of the submitted materials, and after any revisions, the Committee shall approve a Coordinating Committee Summary of the Review and Application for Renewal, with its specific Recommendation to Renew the UACI for another period of Continuing Authorization Status (7 years unless a shorter period is specified), Renew with Specified Conditions, or Discontinue the UACI.

The Committee will submit its Summary and appropriate materials to the University President (or designee), and the Academic Senate (on the Information and Recommendations Calendar for questions and comments).

- v. The University President will recommend, and the Board of Trustees will decide, whether to Renew, Renew with Specified Conditions, or Discontinue the UACI on a specified date. All recommendations and the final decision should be based on judgments as to the overall best interests of the University.

Upon a decision to Renew with Specified Conditions, the Coordinating Committee will confirm renewal after adequate assurance of compliance with the conditions. If any changes are to be made on matters addressed by the UACI's Governance Charter (e.g., changes of the organizational structure), then a revised Charter shall be submitted for Committee approval.

- 7. The UACI Coordinating Committee, after consultation with the University President (or designee), may approve any of the following exceptions or variations from the procedures for UACI reports and renewals, if needed to achieve efficiency and effectiveness of the processes under the circumstances.
  - a. Adjust the schedule for a UACI's Multi-Year Review Report to:
    - i. align the review and renewal schedule with scheduling of reviews required by an outside entity, such as a federal agency providing grant funds (if over the long term, the

- adjusted schedule will be substantially equivalent to and adequately serve the purposes of the ordinary schedule);
- ii. coordinate review of the UACI with a review of another entity with which the UACI is closely related (e.g., an academic department or college, or another UACI), to optimize overall efficiency of the review processes; or
  - iii. conduct an early review to address significant concerns about the UACI, or to provide baseline information for considering significant changes to the UACI.
- b. Allow substitution of materials prepared for another purpose (such as reporting to a granting agency), to partially replace otherwise required materials, if the overall information provided will adequately serve the University's purposes and substitution will not unduly burden the various participants in the processes.

#### H. Procedures and Requirements for UACI Naming/ Renaming, or Substantial Changes.

1. The initial naming and subsequent renaming of academic units generally is governed by [Policy 9-001](#) (and then UBHE-USHE Policy). For what Policy 9-001 refers to as "*honorary names*" it specifies procedures managed by the Vice President for Institutional Advancement. For what it refers to as "*functional names*" it describes procedures which include consideration by the Graduate Council and Academic Senate, as well as administrative officers and the final University-level decision of the Board of Trustees.
  - a. For *honorary* naming/ renaming, the specific matter of the choice of an honorary name for a UACI is governed by Policy 9-001 and so pursuant to that Policy is managed by the Vice President for Institutional Advancement. Under this UACI Rule, the UACI Coordinating Committee shall be informed of the process and shall report the resulting name to the Academic Senate.
  - b. For choosing a *functional* name, the following procedures implement both general provisions of Policy 9-001 and the principles of [Policy 6-001](#) and this UACI Rule for the specific context of UACI naming.
    - i. For initial naming, the proposed functional name shall be included as part of the Formal Proposals to create the new UACI, so that participants considering those proposals (including the Graduate Council) have the same role for the naming as they do for the overall issue of creating the UACI, per Section III-D above (e.g., commentary, formal Recommendations, or final decisions).
    - ii. For renaming with a functional name proposed in any

context other than a UACI Formal Proposal for Continuing Authorization Status (e.g., in the context of a Renewal Application), the process shall be managed by the UACI Coordinating Committee, and include: (A) a *UACI Application for Name Change* submitted to the Committee by the UACI's Primary and Oversight Administrators after consultation with the UACI's Governance Board; (B) a Recommendation by the Coordinating Committee after consultation with the Graduate Council members; (C) a Recommendation by the Academic Senate (Debate or Consent Calendar, as determined by the Executive Committee); (D) a Recommendation by the University President; and (E) the final University-level decision by the Board of Trustees.

As may be further described in approved UACI Guidance, the UACI's Administrators and the Coordinating Committee should ensure that there has been appropriate consultation and consideration of potential effects the proposed name might have on other units.

2. A *UACI Application for Substantial Change* may be used to process consideration of a substantial change to a UACI, other than renaming, when proposed outside the contexts of a UACI Application for Renewal or a Formal Proposal for Continuing Authorization Status (e.g., it may be used for approval of a substantial change sought midway between Multi-Year Review Reports).
  - a. The UACI Administrators, after consultation with the UACI's Governance Board will submit the Application to the UACI Coordinating Committee. If no Application has been submitted in circumstances when one should have been, the Committee may require that an Application be submitted.
  - b. The Committee may determine that the change sought is so highly significant or would potentially affect other units so significantly that the Application should be referred for input from all or some of the participants as with a Formal Proposal for Continuing Authorization Status (e.g., including opportunity for comment from another potentially affected unit, the Graduate Council, or the Academic Senate) and then returned for decision of the Committee.
  - c. Or the Committee may determine that a less significant change may be considered and approved or denied by the Committee alone without further consultation.
  - d. The Committee's decisions on the process and on the outcome shall be final, unless otherwise specifically ordered by the University President.
  - e. The results of any Application for Substantial Change shall be

- briefly described in the Committee's regular reports to the Senate.
- f. Any change significantly affecting the organizational structure of the UACI as encompassed in the current approved UACI Governance Charter shall be described in a revised fully approved Charter.

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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. Procedures, Guidelines, Forms and other Related Resources**

- a. Procedures (reserved)
- b. Guidelines (reserved)
- c. Forms (reserved)
- d. Other related resource materials (reserved)

#### **V. References**

[Policy 6-001](#): Academic Units and Academic Governance

[Policy 9-001](#): NAMING OF UNIVERSITY FACILITIES AND PROGRAMS

#### **VI. Contacts**

- a. Policy Owners: (primary contact person for questions and advice): [[ Vice President for Research. ??? Dean of the Graduate School ]].
- 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: [Not applicable]

Revision History:

- a. Current version: Revision 0

Approved: Academic Senate April 26, 2021

Approved: Board of Trustees [???] 2021 , with designated effective date of July 1, 2021

Legislative History of Revision 0. {Embed link}

- b. Earlier versions: [Reserved]