

**Legislative history--- Policy 6-406 Revision 7,  
regarding the University Special Fee Review Committee, the  
University Budget Advisory Committee, and the approval  
process for Special Program Fees**

as approved by the Academic Senate and Board of Trustees in September  
and October, 2017,

with effective date of October 10, 2017

[Prepared by Bob Flores for the Institutional Policy Committee]

Contents:

- (i) Memorandum from Associate Vice President for Academic Affairs explaining the policy revision. September 12, 2017.
  
- (ii) Contents of revised Policy.

## MEMORANDUM

DATE: September 12, 2017

TO: Ruth V. Watkins, Senior Vice President, Academic Affairs  
Loris Betz, Senior Vice President, Health Sciences

FROM: Martha Bradley-Evans, Senior Associate Vice President, Academic Affairs  
Ann Darling, Assistant Vice President, Undergraduate Studies

RE: Revisions to Policy 6-406

The purpose of this memorandum is to request approval for moving forward with revisions to University Policy 6-406. These revisions are being made at the recommendation of the 2017 audit conducted on the Special Student Course Fees Committee. The Audit found, among other things, that this policy had not been reviewed since its creation in 2001 and, as such, needed a review and updating.

These revisions will be completed in two phases. Phase I addresses the current problem of placing decision making responsibility for special program fees on the Special Student Course Fee Committee. This committee does not have access to the full budget context of the unit making the request nor the context of the full University budget. This policy was written when special program fees were rare and the full budget of the University was much less complex. It is fiscally unwise to ask the Special Student Course Fees to continue to make decisions that are, in fact, embedded in and impacted by larger budgetary contexts. Therefore, Phase I seeks to revise the existing policy so that the Special Student Course Fee Committee reviews special program fee requests and *makes recommendations regarding those to the University Budget Committee*. We hope to move forward with this request as quickly as possible so that special program fee requests can be processed more appropriately this budget year.

Phase II will take place over the remainder of the fall semester. This work will be conducted by a sub-committee of the Special Student Course Fees Committee. It will, as the audit recommends, review and update all aspects of the existing policy.

With this memorandum, we seek your approval to move Phase I of this policy revision request to the agenda of the Faculty Senate Executive Committee.

{ Draft 2017-09-12 for Senate Executive Committee. Note that this proposal is for a first phase of revising the Policy. A second phase of more extensively reorganizing and clarifying the Policy is planned for later in the 2017-2018 year. }

## **Policy 6-406 -- Special Student Course Fees and Other Assessments. Revision 7.** Effective date: [upon final approval]

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

Purpose: To assure proper handling of special course fees and other assessments that may be required in addition to regular tuition charges approved by the Board of Regents.

Scope: This Policy applies to all course-offering academic units of the University (as are described in Policy 6-001).

### **II. Definitions:**

For the limited purposes of this Policy and any associated Regulations, these words and phrases have the following meanings:

- A. Key Deposit: A deposit made by a student to whom a key is issued under the Key Policy (Policy 3-234), subject to refund upon return of the key by the student.
- B. Breakage Fees: Amounts deposited by students enrolled in laboratory or other courses that employ specialized equipment to create a reserve from which damaged or lost equipment may be repaired or repurchased.
- C. Special Course Fees: Fees or charges that are imposed to offset unfunded costs associated with individual courses offered either on or off campus, including: use of nontraditional instructional systems; access to and use of technical instruments; and/or use of consumable laboratory or other instructional materials. (See ~~Paragraph V, Addendum, below~~ for guidelines about how such fees can and cannot be used.)
- D. Special Program Fees: Fees or charges that are imposed to offset unfunded costs for extraordinary services associated with specialized educational programs. (See ~~Paragraph V, Addendum, below~~ for guidelines about how such fees can and cannot be used.)
- E. Private Instruction Fees: Fees collected from students and used to compensate instructors for individualized private instruction necessary to the development of personal performance skills or artistic competencies of such students.

*{Drafting note: the description of the following Committee is being moved out of the Definitions section, and moved into the main part of the Policy, and there it is modified as marked.}*

- ~~F. **Special Fee Review Committee:** The University Curriculum Policy Review Board, with the addition of one representative each from the office of the Associate Vice President for Budget & Planning and the Vice President for Student Affairs will serve as the university committee to review and to approve or disapprove all requests for special course fees and special program fees submitted by academic departments or colleges. Other membership will consist of six students nominated by ASUU, from whom the President of the University will appoint four students. The Committee will convene annually or as directed by the Chair, and it will report annually to the Senate.~~

### **III. Policy:**

- A. Key Deposits
  - 1. Keys may be issued to individuals for access to lockers within buildings after payment of an approved locker key deposit, which will be credited to a general fund liability account.

Issuance of keys for access to buildings and rooms is governed by the University Key Policy, [Policy 3-234](#).

2. An individual requesting a locker key is required to make a deposit for each key with the university cashier. The amount of deposit will be set by the Special Fee Review Committee. A receipt will be issued by the cashier.
3. The locker key will be issued by the department to the individual on presentation of the deposit receipt. The department will retain the receipt until such time as the individual returns the locker key.
4. Upon surrender of the locker key, the department returns receipt to individual, who may present the deposit receipt to the University cashier for refund of the deposit.

B. Special Course Fees and Special Program Fees

1. Colleges, departments, and other course-offering operating units of the University of Utah are not authorized to impose, collect, or deposit to their own activity/project any special course fees or special program fees, except to the extent authorized pursuant to this Policy.
2. Proposals to impose special course fees and special program fees must be submitted in writing by academic departments or colleges, through the cognizant dean, to the Special Fee Review Committee.
3. All special course fees and special program fees duly approved pursuant to this Policy must be paid directly to the University cashier or designated representative of the cashier. The cashier's receipt for the payment will be accepted as evidence that the individual is eligible for the special educational service or program for which the fee was imposed.

C. Breakage Fees

Approved breakage fees must be deposited with the University cashier. Appropriate breakage coupons will be issued. Refunds will be given for unused coupons upon presentation to the cashier.

D. Private Instruction Fees

Approved fees for private instruction must be paid to the University cashier. The department will be provided budget support for private instruction based upon the revenue derived from such private instruction fees.

E. Instructional Materials

Required materials, such as syllabi, outlines, extracts, special publications, reading materials, and other classroom instructional aids intended to be sold to students, must be distributed through the University Bookstore, or other available off-campus sources, unless special arrangements to the contrary are previously approved in writing by the cognizant vice president, with the concurrence of the Vice President for Administrative Services.

F. Approval Authority

*[Drafting note: the description of this committee is being moved to here from its former location in Part II-Definitions, and then modified as is marked.]*

1. [~~The University Curriculum Policy Review Board, with the addition of one representative each from the office of the Associate Vice President for Budget & Planning and the Vice President for Student Affairs will serve as the university committee to review and to approve or disapprove all requests for special course fees and special program fees submitted by academic departments or colleges. Other membership~~

~~will consist of six students nominated by ASUU, from whom the President of the University will appoint four students. The Committee will convene annually or as directed by the Chair, and it will report annually to the Senate.~~

**[[Special Fee Review Committee.**

- a. The University Special Fee Review Committee is hereby established. Its membership shall consist of: (i) the current members of the University Curriculum Policy Review Board (as established by Policy 6-500); (ii) one representative each from the office of the Associate Vice President for Budget & Planning and the Vice President for Student Affairs; and (iii) four students appointed by the President of the University from a list of six students nominated by the Associated Students of the University of Utah. The chairperson of the Curriculum Policy Review Board will serve as chairperson of the Committee. The Committee will convene annually or as directed by the chairperson, and it will report annually to the Academic Senate.
- b. The Committee will serve as the University body to review and to approve or disapprove all requests for special course fees submitted by course-offering units. ]]

The ~~Special Fee Review~~ Committee is authorized to approve and to adjust the amount of previously approved key deposits, breakage fees, special course fees, ~~special program fees,~~ and private instruction fees as budgetary circumstance may require, after careful consideration of each request and the views of the affected departments, colleges, and students.

**With regard to special program fees, the Committee will review new requests and renewals of special program fees and make recommendations regarding them to the [University Budget Advisory Committee].**

{Drafting note: Further information about the Budget Advisory Committee and its role regarding fees will be included in the second phase of revising this Policy, later in 2017-2018.}

2. The appropriate operating units shall give reasonable notice of required fees and deposits approved under this Policy prior to each academic semester or session in which the fees or deposits are required. See ~~Paragraph V, Addendum,~~ below.
  3. A report of all fees and deposits approved under this Policy shall be submitted annually to the University President for review.
- G. Exceptions  
The University President, on recommendation of the cognizant vice president, may approve specific exceptions to this Policy.

H. Addendum

1. General Policy Guidelines for *Special Course Fees*
  - a. Income from special course fees is restricted to specific course costs and may not be used to augment general categories of departmental budgets, i.e., supplies and equipment, travel, salaries or computing costs, and may not be deposited into gift activities (Fund 6000).
  - b. Special course fees may be approved for:
    - i. Consumable Instructional Materials: lab or studio supplies, breakage, photo lab materials, films, chemicals, handouts, electronic kits, etc.

- ii. Use of Specialized Facilities: key deposits, darkrooms, practice rooms, special equipment, language labs, etc.
  - iii. Instructional Materials & Services: film and tapes, special syllabi, private instruction, etc.
  - iv. Curriculum Enhancement: field trips, trail fees, leadership labs, etc.
  - v. Other Specialized Services: testing and exam fees, counseling, etc.
2. General Policy Guidelines for *Special Program Fees*
    - a. Income from special program fees may be used for the sole purpose of offsetting the cost of providing those services specified in the ~~approved proposal presented to and approved by the Special Fee Review Committee~~. Special program fees cannot be used for salaries for instructional personnel.
  3. Length of Approval Period
    - a. Approvals for special course fees and special program fees are granted for a three year period, ending with the summer session.
  4. Fee Increases
    - a. Special course fees and special program fees may not be increased during the three year period unless there are critical and compelling reasons for an out of sequence increase.
  5. Fee Notification
    - a. Special course fees may not be charged to students without having been published in the Class Schedule. Special program fees, including their due dates, must be published in all materials related to that service, e.g., marketing, recruiting, application, and program materials. Such publication constitutes advance notice of the special fee requirement.

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

**V. References:**

[Policy 3-234](#), Key Policy

**VI. Contacts:**

The designated contact officials for this Policy are:

**A. Policy Owner** (primary contact person for questions and advice): **Associate Vice President for Undergraduate Studies.**

**B. Policy Officer: The 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 6-406 effective 9/15/2008, formerly known as PPM 3-8.

**Revision History:**

**A. Current version--** University Policy 7-406, Revision 7. Approved by the Academic Senate: [*pending*]. Approved by the Board of Trustees: [*pending*], with the designated effective date of [ ??? ].

Editorial revisions to current version: [*none*]

Legislative History of Revision 7. { *embed hyperlink to legislative history document, after final approvals completed* }

**B. Earlier versions.**

Policy 6-604 Revision 6. { *embed hyperlink to the past Revision version, after it is marked as “outdated”* } Effective dates: October 11, 2005 to [ ??? ] .

[Policy 6-406 Revision 5](#). Effective dates August 13, 2001 to October 11, 2005.

[Policy 6-406 Revision 4](#) Effective dates September 11, 2000 to August 13, 2001.

[Policy 6-406 Revision 3](#). Effective dates: November 10, 1997 to September 11, 2000

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