

Policy 1-001: Policy on University Regulations

I. Purpose and Scope

To define the requirements, terms, structure, and parameters associated with creating, revising, reviewing, implementing and retiring University Regulations.

II. Definitions

- A. University Regulations -- University Regulations consist of University Policies, University Rules, University Procedures, and University Guidelines. University Regulations are distributed to members of the University Community through means determined by the President, which may include a university regulations library, maintained by an officer designated by the President, with appropriate provision for updating as needed.
- B. Policy - A University Policy is a general statement addressing governance, philosophies, principles or broad concepts inherent in carrying out the missions of the University. Some Policies directly implement or are reflective of state or federal law or applicable policies, Procedures, or bylaws of the Utah State Board of Regents and Utah System of Higher Education. Other Policies implement appropriate academic principals, sound organizational theory or management ideals. University Rules, Procedures, and Guidelines, and Supplemental Rules and Procedures shall not be inconsistent with any University Policy. Policies are recommended by the President and approved by the Board of Trustees. Unless explicitly stated to the contrary in a particular Policy, every Policy is binding on all faculty, staff and students. If explicitly so stated, any particular Policy is also binding on all persons visiting the University or otherwise using any facility or other resources of the University.
- C. Rule - A University Rule may either be a general statement governing the operations of the University or may provide more specific interpretive direction where University Policies are either silent, vague or flexible. Rules shall not be

inconsistent with any University Policy, but may interpret, refine, clarify and complement one or more Policies. Rules often address the application of Policy and are authoritative. Rules are promulgated by the President, a Vice President, or another officer to whom the President or a Vice President has delegated such authority for a specified area of University operations. Unless explicitly stated to the contrary in a particular Rule, every Rule is binding on all faculty, staff and students. If explicitly so stated, any particular Rule is also binding on all persons visiting the University or otherwise using any facility or other resources of the University.

- D. Procedure - A University Procedure sets forth the steps necessary to appropriately and uniformly perform a task to carry out the external business or internal activities of the University. Procedures shall not be inconsistent with any University Policy or University Rule. Procedures are promulgated by the President, a Vice President, or another officer to whom the President or a Vice President has delegated such authority for a specified area of University operations. Unless explicitly stated to the contrary in a particular Procedure, every Procedure is binding on all faculty, staff and students. If explicitly so stated, any particular Procedure is also binding on all persons visiting the University or otherwise using any facility or other resources of the University.

- E. Guideline - A University Guideline provides practical information or other guidance that may be useful to persons in carrying out their individual responsibilities in accord with University Regulations. A Guideline is often issued as a reminder to the campus community of the relevancy and applicability of University Regulations and usually focuses on a specific aspect of such. Guidelines are not authoritative, but are meant to reflect best practices in administering the operations of the University or a particular subdivision of the University. A Guideline may be issued by any administrative unit, subject to the review and approval of the President, a Vice President or another officer to whom the President or a Vice President has delegated such authority for a specified area of University operations. Guidelines are typically presented in the form of

memoranda addressed to persons for whom the guidance or practical information is most directly useful. Guidelines are distributed to such persons, may be distributed more widely as appropriate, and may be included in an appropriate category of a university regulations library.

- F. Supplemental Rule or Procedure -- Supplemental Rules and Supplemental Procedures are those which apply only within a specified subdivision of the University. They may be referred to using various names, such as “departmental rule,” “college Policy,” “bylaw,” “charter,” or “statement of standards and Procedures,” identifying the particular administrative subdivisions for which they are applicable. They are supplemental in the sense of specifying additional details to govern the implementation of one or more University Regulations within the specified administrative subdivision. Supplemental Rules and Procedures may be more restrictive than their corresponding University Regulation, but may not be less restrictive. In any case, they shall not be inconsistent with the intent and Purpose underlying any University Regulation. Supplemental Rules and Procedures are promulgated by the appropriate persons within the adopting subdivision, in compliance with requirements set forth in the controlling University Regulations, always subject to the general authority of the President for all matters, and subject to the authority of the Academic Senate for academic matters. Supplemental Rules and Procedures are distributed within the adopting subdivision, may be distributed more widely as appropriate, and may be included in an appropriate supplemental category of a university regulations library.

Unless explicitly stated to the contrary in a particular Supplemental Rule or Procedure, it is binding on all faculty, staff and students within the relevant administrative subdivision for which it is promulgated. If explicitly so stated, any particular Supplemental Rule or Procedure may also be made binding on all persons visiting the University or otherwise using any facility or other resources of the University, within the limitations of the promulgating administrative subdivision.

- G. Institutional Policy Committee - The Institutional Policy Committee “IPC” is a committee appointed by the President, whose membership is broadly representative of the diverse areas of the University community, with responsibilities as may be determined by the President to assist in developing and reviewing University Regulations, while ensuring appropriate consideration of the interests of all areas of the University. The IPC shall ordinarily meet at least quarterly, and at such other times as needed.

III. Policy

A. University Regulations—promulgation

1. University Policies shall be developed, approved and revised, or retired with the approval of the Board of Trustees upon the recommendation of the President, after either approval by or consultation with the Academic Senate in accord with paragraph [4] below. In developing recommendations for the Trustees, the President may seek the assistance of the Institutional Policy Committee, other officers of the University, and other appropriate persons.
2. University Rules shall be developed, approved and revised, or retired upon the approval of the President, a Vice President, or another officer to whom the President or a Vice President has delegated rule making authority for a specified area of University operations, after either approval by or consultation with the Academic Senate, or a designated officer, council or committee, in accord with paragraph [4] below. In considering any University Rule, the President or other delegated officer may seek the assistance of the Institutional Policy Committee, other officers of the University, and other appropriate persons.
3. University Procedures are promulgated by the President, a Vice President, or another officer to whom the President or a Vice President has delegated such authority for a specified area of University operations. In considering the approval of any University Procedure, the President or other delegated officer

- may seek the assistance of the Institutional Policy Committee, other officers of the University, and other appropriate persons. In accord with paragraph [4] below, the Academic Senate may make recommendations to the President regarding any Procedure that directly or significantly affects the carrying out of the University's academic missions.
4. The University adheres to the principle that the perspectives of the faculty and students of the University should be appropriately considered in conjunction with promulgation of all University Regulations that directly or significantly affect the carrying out of the University's academic missions of teaching, research, and service. To that end, the Academic Senate, as the body representative of the faculty and students, shall have the following roles with regard to approval, revision, or retirement of University Regulations and Supplemental Rules and Procedures.
 - a. All University Policies that directly or significantly affect the carrying out of the University's academic missions shall be presented for the approval of the Academic Senate, and as approved shall then be forwarded for the consideration of the Board of Trustees.
 - b. All University Policies that do not directly or significantly affect the carrying out of the University's academic missions shall be presented for the information of the Academic Senate, and members of the Senate may make recommendations to the President or Board of Trustees with regard to any such Policy.
 - c. Except as provided in paragraph [g] below, all University Rules shall be presented to the Executive Committee of the Academic Senate. If the Executive Committee determines that a Rule directly or significantly affects the University's academic missions, then the Executive Committee may forward the matter to the Academic Senate, either for its approval, or for its information and possible recommendations, as the Executive Committee determines is appropriate. If the Executive Committee does

not make a determination of such direct or significant effect on academic missions, the matter shall not be forwarded to the Senate, and the Rule may be put into effect without further consultation with the Senate.

- d. In extraordinary circumstances calling for urgent action, the President may determine that a Rule shall be put into effect without prior presentation to the Executive Committee, and/or without the prior approval by or consultation with the Senate that would otherwise be required. Any Rule put into effect in such manner shall subsequently be presented to the Executive Committee at the next available opportunity, and if the Rule is one that would ordinarily require Senate prior approval, then it shall be forwarded to the Senate to be considered for ratification or disapproval.
- e. The determination of whether a University Policy or University Rule is to be presented to the Senate for its approval, or its information and possible recommendations shall be made by the Executive Committee of the Senate, based on the extent to which the change directly or significantly affects the University's academic missions. All Policies stated within Parts 6 and 7 (Academics and Research, respectively) of University Policies, and all University Rules that are directly related to any such Policy, shall be presumed to have such direct and significant effects. Policies stated in other parts of the University Policies, and University Rules related to such Policies, shall be treated as having a direct or significant effect on academic missions only if so determined by a majority of the Executive Committee.
- f. University Procedures need not be presented to the Academic Senate or the Executive Committee. Provided, however, that upon the request of any two members of the Senate, the Executive Committee shall review any University Procedure, and if a majority of the committee determines that the matter directly or significantly affects the University's academic

missions, then the matter shall be presented to the Senate for its information and possible recommendations.

- g. If specifically so provided in a University Policy, the authority of the Academic Senate to review and approve University Rules regarding specified subject matter may be delegated to a designated officer, council or committee, which may include the Graduate Council or Undergraduate Council. In such instances, the roles of the designated officer, council or committee, the Senate Executive Committee, and the Academic Senate in the promulgation of such Rules shall be as described in the pertinent University Policy (and/or an accompanying Rule), provided, however, that such Rules shall always remain subject to the general authority of the Academic Senate over academic matters.

B. Supplemental Rules and Procedures—promulgation

The methods of promulgation, including requirements for review and approval, of Supplemental Rules and Procedures applicable only within a specified administrative subdivision of the University may be set forth within various sections of the University Regulations. In some instances the promulgation of a Supplemental Rule or Procedure is explicitly required by the terms of a University Regulation. In other instances, University Regulations explicitly or implicitly authorize the optional promulgation of a Supplemental Rule or Procedure. In some instances, a University Regulation by its terms sets forth the steps for promulgation of a Supplemental Rule or Procedure, including requirements for review and approval, and in such instances those shall be the steps for developing, approving and revising, or retiring a Supplemental Rule or Procedure. In all instances Supplemental Rules and Procedures are subject to the general authority of the President (or other delegated officer) over all operations of the University, and Supplemental Rules and Procedures directly or significantly affecting the University's academic missions are subject to the general authority of the Academic Senate over academic matters.

*Drafting note: **Information below this line is not included as part of the contents of the official Policy** approved by the Senate and Board of Trustees, is provided only as a convenience for readers/users, and may be changed at any time by persons authorized by the President, subject to review by the Institutional Policy Committee.*

IV. Rules, Procedures, Guidelines, Forms and other Related Resources

A. Rules

Rule 1-001 ([R1-001](#))

B. Procedures

C. Guidelines

D. Forms

[Policy Template](#)

E. Other related resource materials

V. References

References

VI. Contacts

The designated contact officials for this Policy are:

- A. **Policy Owners (primary contact person for questions and advice):** General Counsel
- B. [Policy Officers](#): Vice President and General Counsel.

1. 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. "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.... "
 - b. "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

- A. Current version: University Policy 1-001, Revision # 0,

Approved by the Academic Senate: April 7, 2008

Approved by the Board of Trustees: April 14, 2008, with the designated effective date of July 1, 2008.

New Policy 1-001 incorporated the contents of and entirely replaced two former Policies that were titled, under the previously applicable numbering system, as PPM 8-20 (also known as University Regulations Chapter XX-Amendments), and PPM 9-10 (also known as Faculty Regulations Chapter X-Amendments).

Background information on Revision 0. [[Proposal memorandum](#)]

B. Earlier versions:

[PPM 8-20, Revision 1](#) (also known as University Regulations Chapter XX-Amendments). Effective dates: November 1, 1972 to July 1, 2008.

[PPM 9-10, Revision 0](#) (also known as Faculty Regulations Chapter X-Amendments). Effective dates: November 1, 1972 to July 1, 2008.