

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

Contents:

- I. Purpose and Scope..... 3
- II. Definitions..... 3
- III. UACI Rule..... 6
- A. UACI Coordinating Committee — Membership and Functions..... 6
 - 1. Membership..... 6
 - 2. Functions:..... 8
 - 3. Guidance..... 8
- B. Types of UACIs, Defining Characteristics, and Distinguishing UACIs From Other Types of Academic Units or Other Administrative Units..... 9
 - 1. UBHE and University Policy defining UACIs..... 9
 - 2. UACIs as Academic Units, Supportive and Complementary to Academic Departments and Colleges..... 9
 - 3. *Academic Center* or *Academic Institute*..... 10
 - 4. Various types of UACIs..... 11
 - 5. Other types of entities not considered UACIs governed by this Rule..... 11
- C. New UACI Authorization Phases and Discontinuance Procedures..... 12
 - 1. Authorized status and renewals..... 12
 - a. Initial Phase Authorization Status (3-year period)..... 12
 - b. Continuing Authorization Status—first period (5-year period)..... 12
 - c. Renewed Continuing Authorization Status (7-year periods)..... 12
 - 2. Discontinuance /or non-renewal..... 13
- D. Procedures for Creation of New UACIs..... 13
 - 1. Overview of UACI creation steps, and general concepts..... 13
 - 2. Letter of Intent (Intent Letter) to Create a New UACI..... 15
 - 3. Formal Proposal to Create New UACI with Initial Phase Authorization..... 16
- E. Contents of Proposals, Intent Letters, and Applications, and Fundamental Principles for Creation and Review of UACIs..... 18
 - 1. Formal Proposals, and Further Guidance..... 18
 - 2. Fundamental Principles..... 19
 - 3. Formal Proposals (Initial and Continuing)..... 20
- F. Exceptions for Abbreviated Procedures to Attain Authorized Status..... 21
 - 1. Exception for existing units to attain UACI Continuing Authorization Status..... 22

2. Exception-- Expedited Process for New Unit to Attain Initial Phase Authorization Status Due to Urgent Circumstances. 24

3. Exception-- Variations of Approval Phases Based on Special Circumstances..... 25

G. Procedures and Requirements for Reports, Reviews, and Renewals of UACIs; and Exceptions. 26

H. Procedures and Requirements for UACI Naming/ Renaming, or Substantial Changes. 29

Regulations Resource Information (Parts IV-VII) ## 32

IV. Procedures, Guidelines, Forms and other Related Resources..... 32

V. References..... 32

VI. Contacts 32

VII. History 33

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. Guidance Materials, Review After Implementation.

This Rule is intended to implement the provisions of Policy 6-001 regarding UACIs. 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.

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 $\frac{1}{4}$ 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.

III. 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:
 1. 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.
 2. One Senate-elected representative of the faculty—the President of the Academic Senate (or designee) during the term in office.
 3. 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:
 - C. 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.
 - D. 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. Guidance.

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.

- a. 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/>

- b. 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.*
- i. 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.

- i. 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 began 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.
 - f. 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. Formal Proposals, and Further Guidance.
 - a. 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. Fundamental Principles.

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. Formal Proposals (Initial and Continuing).

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.

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.

1. 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-1 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.

2. 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.

3. 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.

- iii. 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.

Regulations Resource Information (Parts IV-VII)

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, and 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 June 8, 2021, with designated effective date of July 1, 2021

[Legislative History](#) of Revision 0.

- b. Earlier versions: [Reserved]