



UTAH VALLEY UNIVERSITY

Policies and Procedures

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Proposed Policy Number and Title: <i>106 Special Purpose Organizational Units</i>		
Current Policy Number and Title: <i>106 Special Purpose Organizational Units</i>		
Approval Process*		
<input checked="" type="checkbox"/> Regular <input type="checkbox"/> New <input checked="" type="checkbox"/> Revision <input type="checkbox"/> Revision—Limited Scope <input type="checkbox"/> Deletion	<input type="checkbox"/> Temporary <input type="checkbox"/> New <input type="checkbox"/> Revision <input type="checkbox"/> Revision—Limited Scope	<input type="checkbox"/> Compliance Change <input type="checkbox"/> New <input type="checkbox"/> Revision—Limited Scope <input type="checkbox"/> Deletion
*See UVU Policy 101 <i>Policy Governing Policies</i> for process details.		

Draft Number and Date:	<u>Stage 2 Regular, August 11, 2025</u>
President’s Council Sponsor:	<u>Wayne Vaught</u>
Policy Steward:	<u>Kat Brown</u>

POLICY APPROVAL PROCESS DATES		
REGULAR	TEMPORARY	COMPLIANCE
Drafting and Revision Entrance Date: <u>4/26/2018</u> University Entities Review Entrance Date: <u>8/14/2025</u> Close Feedback: <u>10/3/2025</u> Board of Trustees Review Entrance Date: _____ Approval Date: _____	Drafting and Revision Entrance Date: _____ Board of Trustees Review Entrance Date: _____ Approval Date: _____	President’s Council Approval Approval Date: _____ Board of Trustees Ratification Ratification Date: _____



POLICY TITLE	Special Purpose Organizational Units	Policy Number	106
Section	Governance, Organization, and General Information	Approval Date	
Subsection	Governance and Organization	Effective Date	
Responsible Office	Office of the Provost/Senior Vice President of Academic Affairs	Last Review	

1.0 PURPOSE

1.1 Special purpose organizational units are established to fulfill the University's mission in teaching, research, scholarly and creative works, and various types of UVU-sponsored internal and external service. This policy establishes the formal requirements of these units, which may span conventional reporting lines and/or derive significant financial support from sources outside of the University, such as grants, endowments, contracts, and gifts.

2.0 REFERENCES

- 2.1 Utah Board of Higher Education Policy R401 *Approval and Modification of Instructional Programs and Administrative Units within Institutional Role, Mission, and Designated Service Region*
- 2.2 UVU Policy 104 *Advancement Boards and Program Advisory Boards*
- 2.3 UVU Policy 231 *Fundraising Authority, Responsibility, and Coordination*
- 2.4 UVU Policy 232 *Honorary Names and Named Gifts*
- 2.5 UVU Policy 234 *Qualified Sponsorships*
- 2.6 UVU Policy 704 *Minors on Campus and at University-Sponsored Events*

3.0 DEFINITIONS

- 3.1 Administrator:** A full-time employee responsible for the management and oversight of various operations within the university.
- 3.2 Center:** A special purpose organizational unit, which may extend beyond any one department but usually remains within a single school or division. Buildings and physical



18 locations that contain the word "center" are not affected by this policy (e.g., UCCU Center or
19 Digital Learning Center).

20 **3.3 Institute:** Special purpose organizational unit with a complex structure that crosses
21 disciplinary, department, and school or divisional boundaries. Institutes often have a public or
22 community component (e.g., the Herbert Institute).

23 **3.4 Laboratory:** Special purpose organizational unit usually equipped to support specialized
24 research, experimentation, testing, and/or analysis. Laboratories produce new knowledge,
25 develop solutions to specified problems, or provide training or instruction in relevant techniques
26 or technologies.

27 **3.5 Organizational model:** The management structure for a special unit based on its size and
28 scope.

29 **3.6 Originator(s):** Individual(s) who write the proposal to establish a special unit.

30 **3.7 Special Purpose Organizational Unit (SPOU):** Entities designed to further the academic,
31 service, or professional missions of their sponsoring organizations. SPOUs may be designated as
32 centers, institutes, laboratories, offices, stations, or some other designation, as appropriate and
33 consistent with this policy. SPOUs may cross discipline, department, and school/college or
34 divisional boundaries and will often have a public or community component. These units may
35 produce new knowledge, develop solutions to specified problems, provide training or instruction
36 in advanced techniques or technologies, or make some other professional or academic
37 contribution to their field.

38 **3.8 Service:** Voluntary activities performed by faculty members in addition to regular teaching
39 load with the aim to benefit UVU through interactions with students, businesses, scholarly
40 organizations, or the community at large.

41 **3.9 Sponsoring executive:** A vice president within an organization who champions, supports,
42 and provides strategic oversight for a major initiative, project, or transformation effort.

43 **3.10 Sponsoring unit:** Any currently existing university entity outside of the SPOU that
44 oversees the SPOU.

45 **3.11 SPOU supervisor:** A full-time employee appointed by the sponsoring unit to supervise the
46 SPOU



4.0 POLICY

4.1 Scope of This Policy

4.1.1 This policy addresses SPOUs, which are separate from any currently existing university entity. There must be a clearly demonstrated benefit for creating a SPOU, and it must fulfill one or more focused goals for research, scholarly or creative activities, public service, or some other focused academic or professional function. An SPOU's goals must be consistent with the role, mission statement, and strategic plan of the University and should facilitate increased productivity and attainment of excellence in a well-defined area of instruction, research, service, or outreach.

4.1.2 SPOUs do not include branch campuses, extension centers, or instructional service centers.

4.2 Formation and Governance of SPOUs

4.2.1 President's Council must approve the formation or expansion of a SPOU, as described in section 5.1.

4.2.2 The organizational structure of the SPOU shall depend on its size, purpose, focus, or complexity.

4.2.3 A SPOU may have advisory boards.

4.2.4 A SPOU shall not offer credit-bearing academic awards; however, SPOUs may sponsor courses for academic credit. If a SPOU wishes to sponsor courses for academic credit, the curriculum and faculty must remain housed in an academic department and under the oversight of the appropriate school or college, or under the oversight of the Provost with the approval of the Academic Affairs Council. A SPOU

4.2.5 A SPOU must adhere to all state and federal laws, Utah Board of Higher Education policies and procedures, and university policies, including those governing interaction with minors in the university setting. (See Policy 704 *Minors on Campus and at University-Sponsored Events*.)

4.3 Support and Funding

4.3.1 A sponsoring unit will be involved in all phases of the SPOU's financial reporting and support. A sponsoring unit may make contributions in the form of space, facilities, equipment, faculty time, basic budgetary funds, clerical or technical assistance, or other forms of support in accordance with applicable university policies.

4.4 A sponsoring executive may have multiple reporting lines if they oversee a SPOU with more than one sponsoring unit.



- 77 **4.4.1** A SPOU may seek funding external to the University in accordance with existing USHE
78 and university policies concerning financial support.
- 79 **4.4.2** A SPOU may engage in income-producing activities when authorized by applicable law
80 and university policy
- 81 **4.4.3** Each SPOU will be assigned a separate index to manage their funds, per university policy.
- 82 **4.4.4** A SPOU shall comply with all university financial procedures and policies.

5.0 PROCEDURES

83 **5.1 Approval Process**

- 84 **5.1.1** The originator of a new SPOU shall develop a proposal using the required institutional and
85 Utah System of Higher Education forms and follow the appropriate approval procedures outlined
86 in this policy and Utah Board of Higher Education Policy R401.
- 87 **5.1.2** SPOU proposals involve different areas of programs and services. The following
88 approvals, at a minimum, are required for different areas:

Entities Involved in SPOU	Required Approvals	Requirements
Research and/or sponsored programs	Appropriate research officer and/or sponsored programs review	This review shall include a written determination about whether the proposed partnership is allowable under university policies pertaining to grants and other relevant university policies.
International collaboration	Office for Global Engagement International and Global Initiatives	This review shall include a written statement indicating potential issues or concerns about immigration or other international affairs issues.



Graduate programs	Graduate Council and Director of Graduate Studies	The Graduate Council shall obtain approval for the SPOU from the Director of Graduate Studies.
Fundraising and sponsorships	Institutional Advancement	This review shall include a written statement explaining the coordination between the SPOU and Institutional Advancement for any external fundraising, solicitations, and/or sponsorships with non-university entities that are not associated with the Office of Sponsored Programs.

89 **5.2** The Office of General Counsel will review the proposal when issues of ownership of
90 intellectual property or other regulatory compliance arise.

91 **5.3 Initial Funding**

92 **5.3.1** Until a new SPOU obtains other resources, it may need initial, one-time allocations of
93 funding. These resources may come from institutional sources, grants, or external donors. Any
94 proposal for funding from an existing institutional revenue source shall clearly demonstrate that
95 the use of these funds will not interfere with other institutional programs and services and will
96 comply with university policy.

97 **5.4 Annual Review Process**

98 **5.4.1** The appropriate dean, other executive, or their designee shall conduct an annual
99 performance review of the SPOU supervisor.

100 **5.4.2** By November 15, each SPOU will submit an annual report to the appropriate
101 college/school dean(s) or other executive and second-level supervisor. Reports shall recount
102 activity from the previous fiscal year (July 1–June 30). If the SPOU has an advisory board or
103 committee, then the chair of the advisory board or committee will be consulted in the preparation
104 of the report.

105 **5.4.3** The annual report should include the following as applicable:

106 **5.4.3.1** Brief summary of major activities during the past year;

107



5.4.3.2 Names, titles, and organizational affiliations of persons serving on the unit's advisory board or committee, if one exists;

5.4.3.3 Names of UVU students and employees directly involved in the unit's work;

5.4.3.4 A list of any collaborations with faculty at UVU or with external individuals or groups;

5.4.3.5 A list of publications developed by the SPOU, including books, journal articles, conference contributions, reports, and reprints issued under its own covers, showing author(s) and title;

5.4.3.6 A list of funding proposals submitted during the past year, including status, funding sources, requested amounts, and a short description;

5.4.3.7 A list of sources and amounts (on an annual basis) of income, including contracts and grants, gifts, donations, university support, service agreements, and income from sale of publications and other services;

5.4.3.8 Expenditures from all sources of support funds, distinguishing use of funds for administrative support, direct research, and other specified uses;

5.4.3.9 Description and amount of space currently occupied;

5.4.3.10 A detailed summary of objectives and planned activities for the upcoming five-year period, including any assessments for the objectives; and

5.4.3.11 Any other information deemed relevant to documentation of the SPOU's achievements.

5.5 Five-Year Review Process

5.5.1 The SPOU supervisor shall provide the sponsoring unit(s) and the sponsoring executive with a five-year strategic plan and report based on assessment outcomes. Based on the report, the sponsoring executive may recommend that the SPOU be continued or discontinued.

5.5.2 Supervisor terms may be renewed every five years during the SPOU five-year review process.

5.5.3 The SPOU supervisor shall prepare a five-year summary report covering the SPOU's mission; history; staff; administration; resources and funding efforts; research, scholarly and creative activities; public service and other academic or professional undertakings; and challenges and needs.

5.5.4 The SPOU supervisor shall submit the summary report to the SPOU's sponsoring executive for review, and if applicable, the advisory board(s).



5.5.4.1 After the advisory board review of the summary report is completed, the SPOU supervisor shall then submit the report to the college/school dean(s) or sponsoring executive.

5.5.5 The dean(s) or sponsoring executive shall appoint a review committee composed of faculty members, administrators, and student representatives.

5.6 The review committee shall examine the five-year summary report to ensure the SPOU is meeting its strategic plan and goals. The review committee shall also examine all annual reports submitted during the five-year period under review, pursue other clarifications as appropriate, and add written responses if warranted.

5.6.1 The college or school dean(s) or sponsoring executive shall send the review materials and their comments to the Provost for consideration and written response if warranted.

5.6.2 Every five years, the SPOU will complete a comprehensive outcomes assessment and updated strategic plan for the next five years. The appropriate leadership will review these documents and may request an external assessment as necessary.

5.6.3 The appropriate leadership makes a recommendation to the Provost about the continuation, modification, and leadership of the SPOU.

5.7 Name Change

5.7.1 The supervisor of the SPOU, after consulting with the SPOU's advisory committee (if any), shall prepare a one-page proposal describing the rationale for requesting a new name.

5.7.2 If the name change is approved, the Provost submits the name change recommendation to the Board of Trustees for approval and if relevant, to the Utah Board of Higher Education.

5.8 Repurposing of SPOU Mission or Scope

5.8.1 The appropriate leadership or the SPOU advisory committee can submit requests for modification to the mission or scope to the Provost for consideration.

5.9 Remediation and Discontinuance

5.9.1 A recommendation to discontinue a SPOU shall receive careful review by the unit supervisor, advisory committee (if any), appropriate department chairs, supervisors of other SPOUs that would be affected by the discontinuance, and the appropriate dean(s) or sponsoring executive, and the Provost. The Provost will make a recommendation to the President.

5.10 After review of the recommendation, the President shall issue the final decision pending approval from the Utah Board of Higher Education.



POLICY HISTORY		
Date of Last Formal Review: January 30, 2025		
Due Date of Next Review: January 30, 2030		
Date of Last Action	Action Taken	Authorizing Entity
June 15, 2006	Approved for entrance to Policy Manual.	UVU Board of Trustees
	Revised policy approved through regular policy process.	UVU Board of Trustees



POLICY TITLE	Special Purpose Organizational Units	Policy Number	106
Section	Governance, Organization, and General Information	Approval Date	June 15, 2006
Subsection	Governance and Organization	Effective Date	June 15, 2006
Responsible Office	Office of the President		

1.0 PURPOSE

1.1 Utah Valley University recognizes the value of special purpose organizational units designed to carry out a particular area of research, instruction/training, or provide some type of valuable service. Having such units provides an avenue where faculty and staff with a breadth of training, knowledge, and experience can explore particular challenges or interests with colleagues, students, and the community. Because these units may span conventional reporting lines and/or derive significant financial support from sources outside of the University such as grants, endowments, contracts, and gifts, they should be governed by a university wide policy.

2.0 REFERENCES

3.0 DEFINITIONS

3.1 Center: A special purpose organizational unit which may extend beyond any one department but usually remains within a single school or division. Buildings and physical locations which contain the word "center" are not affected by this policy (such as UCCU Center or Digital Learning Center).

3.2 Division: A group of functional units organized under a vice president.

3.3 Institute: Special purpose organizational unit of complex structure which crosses disciplinary, department, and school or divisional boundaries. Institutes often have a public or community component.

3.4 Institutional effectiveness: Measures the progress toward goals and reports the outcomes.

3.5 Laboratory: Special purpose organizational unit usually equipped to support specialized research, experimentation, testing, and/or analysis. Laboratories produce new knowledge, develop solutions to specified problems, or provide training or instruction in advanced techniques or technologies.



3.6 *Organizational model:* ~~The management structure for a special unit based on its size and scope.~~

3.7 *Originator(s):* ~~Individual(s) who write the proposal to establish a special unit.~~

3.8 *School:* ~~A group of academic departments and/or academic functional units organized under a dean.~~

3.9 *Special unit:* ~~A special purpose organizational unit which provides a conceptual focus and brings together resources. Special units focus on specific problems; promote research and scholarly works; creative activities; or specialized services for defined organizational or community challenges. Special units include, but are not limited to, laboratories, centers, or institutes.~~

3.10 *Sponsoring Unit:* ~~A department, school, or division to which the supervisor of the special unit will report.~~

3.11 *Supervisor:* ~~A person appointed to supervise the special unit by the sponsoring unit.~~

4.0 POLICY

4.1 Policy Organization and Structure

4.1.1 ~~Special units may be organized to fulfill focused goals for research, scholarly or creative activities, service, and/or training. There must be a clear benefit (such as external funding or focus) for creating a special purpose organizational unit rather than organizing within an already existing structure.~~

4.1.2 ~~The choice of the organizational structure, whether *laboratory*, *center*, or *institute*, will generally depend on the size, purpose, focus, or complexity of the unit. The originator must justify which special unit structure is most appropriate.~~

4.1.3 ~~The proposal for the organization of a special unit must be reviewed by and receive the recommendation of the following: supervisor(s); administrative supervisor of sponsoring unit or school; and administrative supervisor of division. A proposal recommended by the division vice president will be taken to President's Council for approval or disapproval. Board of Trustees and Board of Regents approval will be sought by the Office of the President when special unit proposals have an academic dimension and/or annual financial commitments of over \$500,000.~~

4.1.4 ~~Special units, involving more than one sponsoring unit, are administered by a supervisor who may have multiple reporting lines. The sponsoring unit(s) shall keep the appropriate vice president(s) informed of special unit activities, of any major evaluation, and of changes in the special unit's activities. The special unit shall provide a two-year cycle plan and report based on~~



~~outcomes assessments to sponsoring unit(s) and the supervising vice president. Based on that report, the special unit may or may not be continued.~~

~~4.1.5 Special units may have advisory boards.~~

~~4.1.6 In such instances where a special unit desires to sponsor courses for academic credit, the curriculum and faculty must remain under an academic department and school's oversight. Special units may not offer degrees or majors.~~

4.2 Support and Funding

~~4.2.1 Sponsoring units will be involved in all phases of the special unit's financial reporting and support. Contributions may be in the form of space, facilities, equipment, faculty time, basic budgetary funds, clerical, or technical assistance, etc.~~

~~4.2.2 Without violating existing policy concerning financial support, special units are permitted to seek funding external to the University. They are permitted to have diverse support and funding sources or strategies, including but not limited to grants, endowments, contracts for specific projects, or gift.~~

~~4.2.3 Start up Funding: There may be a need for initial, one time, allocations of funding to establish the special unit until external resources can be obtained. These resources may come from institutional sources, grants, or external donors.~~

~~4.2.4 As may be allowed by law, special units may engage in income producing activities.~~

~~4.2.5 Special units will comply with all financial procedures and policies of the college.~~

5.0 PROCEDURES

5.1 Proposal

~~5.1.1 The originator of a special unit shall develop a proposal which identifies:~~

- ~~1) The primary focus of the special unit;~~
- ~~2) The training, scholarly activities, creative activities, or service functions to be provided;~~
- ~~3) The relationship to its supervising unit(s);~~
- ~~4) The individuals involved.~~

~~5.1.2 The proposal should contain the following sections:~~



- 1) *Title page:* Include the signatures of the: a) supervisor(s); b) administrative supervisor of sponsoring unit; and c) supervising vice president to which the proposed special unit will report.
- 2) *Proposal summary:* Provide a description of an unmet need of the University or community that will be met by the special unit. Describe how the special unit is qualified to meet the need. Identify any faculty or staff involved and their units.
- 3) *Goals:* Describe the long-term and short-term goals of the special unit. Describe the relationship of the goals to the sponsoring unit(s) and UVU's mission and strategic directions.
- 4) *Organizational model:* Specify the management structure for the special unit, including the administrative responsibilities of the supervisor(s). Each special unit must identify a single individual in the organizational model who will be responsible for the overall performance.
- 5) *Resource needs:* Describe immediate and long-term requirements including, space, equipment, marketing, personnel, contributions of each sponsoring unit, and resources to be provided by central administration or outside funding agencies. The section must indicate support by any sponsoring units whose resources are affected.
- 6) *Budget narrative:* Provide an operating budget which must include all costs for unit operation, start-up costs, sources of funding, and total amount of funding requested. Identify which sponsoring unit(s) will financially support the special unit.
- 7) *Outcomes-based Assessment Plan:* Describe the plan that will be used to determine the effectiveness of the special unit. Indicate the criteria to be used to determine the continuance or discontinuance of the special unit.

5.2 Institutional Management

5.2.1 The Office of the President, or office so designated, shall maintain a listing of all university special units to assist in the oversight, business, and management of such units.

POLICY HISTORY		
Date of Last Action	Action Taken	Authorizing Entity



POLICY 106 EXECUTIVE SUMMARY

Policy Number and Title: 106 Special Purpose Organizational Units

Date:	April 19, 2018
Sponsor:	Wayne Vaught
Steward(s):	Kat Brown
Policy Process:	Regular
Policy Action:	Revision
Policy Office Editor:	Cara O'Sullivan
Embedded Attorney:	Cathy Jordon

Issues/Concerns (including fiscal, legal, and compliance impact):

Policy 106 needs to be revised to reflect changes in Utah Board of Regents' Policy R401, *Approval of New Programs, Program Changes, Discontinued Programs, and Program Reports*; Policy R401 no longer requires OCHE to approve universities' centers, institutes, and bureaus. Revisions to Policy 106 will clarify language, update references and terms, establish policies and procedures appropriate to a university, and remove procedures that are more appropriate in an SOP or practice document. The policy will treat both academic and non-academic entities.

Suggested Changes:

Revision—complete rewrite.

Requested Approval from President's Council: Entrance to Stage 1

Proposed Drafting Committee: To be determined. Representation will come from Academic Affairs, Student Affairs, Human Resources, and faculty.

Target Date for Stage 1 Draft to Enter Stage 2: TBD

Target Date for Board of Trustees Review: TBD