



University of Colorado

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# Academic Principles, Professional Rights and Responsibilities, and Related Policies

## I. Principles of Professional and Ethical Responsibilities (PPER)

In 2008, the faculty of the University of Colorado approved the [Faculty Statement of Principles of Professional and Ethical Responsibilities \(PPER\)](#) [1].

## II. Non-Discrimination and Commitment to Diversity

### A. Non-Discrimination

The Laws of the Regents establish principles of non-discrimination for employees and students. In addition to federal legislation, several Regent Laws and Policies apply:

- [Laws of the Regents: Nondiscrimination \(Article 10\)](#) [2]
- [Regent Policy: Commitment to Needs of Persons with Disabilities \(Regent Policy 10-M\)](#) [3]
- [RA: University-Wide Affirmative Action Policies](#) [4]
- Other: Affirmation of Policy, Office of the President

### B. Commitment to Diversity

The Board of Regents has reaffirmed, by Regent resolution, its commitment to the promotion of diversity in the University community.

- [RA: Statement Reaffirming Board's Commitment to Diversity](#) [5]

## III. Academic Freedom

### A. General Policy

The Laws of the Regents establish principles of academic freedom, including principles on intent and definition, faculty responsibility and student responsibility.

- [LOR: Intent and Definition \(Section 5.D.1, Laws of the Regents\)](#) [6]
- [LOR: Faculty Responsibility \(Section 5.D.2, Laws of the Regents\)](#) [6]

### B. AAUP Statement on Academic Freedom and Tenure

Sections of the AAUP's 1940 Statement of Principles on Academic Freedom and Tenure have been adopted as a statement of policy by the Board of Regents.

- [AAUP Statement on Academic Freedom and Tenure](#) [7]

## IV. Research

### A. Classified Research

Administrative policy on classified research sets forth Regent policy on classified research and procedures for implementation. This APS also includes the October 12, 1987, "Statement of the Faculty Committee on Classified Research."

- [APS: Restricted, Proprietary, and Classified Research](#) [8]
- [Regent Policy: Classified Research \(Regent Policy 4-F\)](#) [9]

### B. Indirect Cost Recoveries

Administrative policy on indirect cost recoveries was rescinded on July 1, 2010. The Board of Regents established campus indirect cost recovery (ICR) policy guidelines. An indirect cost recovery policy for the Anschutz Medical Campus is required by the "Indirect Cost Recovery Resolution" of the Board of Regents. For more information, contact your campus Office of Contracts and Grants.

- APS: Indirect Cost Recoveries (rescinded 7/1/10)
- RA: Campus Indirect Cost Recovery (ICR) Policy Guidelines

- RA: Indirect Cost Recovery Resolution

### **C. Intellectual Property**

The Board of Regents established a policy on discovery and patents. This policy sets forth objectives, definitions, scope of the policy, responsibilities of participating parties, and policies on the division of income. This policy also establishes the University Committee on Intellectual Property.

- RA: Policy on Discovery and Patents
- APS: Intellectual Property Policy on Discoveries and Patents for Their Protection and Commercialization [10]
- APS: Intellectual Property that is Educational Materials [11]

### **D. Misconduct in Research and Authorship**

Policies defining misconduct, setting forth consequences of a finding of misconduct and establishing the responsibilities of standing committees on research misconduct are set forth in administrative policy.

- APS: Misconduct in Research and Authorship [12]

### **E. Fiscal Misconduct**

Policies on reporting fiscal misconduct and procedures for reporting and resolving instances of known or suspected fiscal misconduct are set forth in administrative policy.

- APS: Fiscal Misconduct Reporting [13]

### **F. Research Involving Human Subjects or Animal Studies**

Each campus of the University of Colorado has a policy or guidelines for situations dealing with human research subjects and animal studies. These campus policies or guidelines conform to federal regulations. Questions regarding human research subjects and animal studies should be directed to the campus Vice Chancellor for Academic Affairs.

## **V. Conflict of Interest**

Administrative policy sets forth precepts on conflicts of commitment and conflicts of interest, examples of conflict situations, the process of disclosure, review, and evaluation of disclosures, and provisions for campus policies. General policy of the Board of Regents on

conflict of interest is set forth in Regent policy

- [Regent Policy: Conflict of Interest - University Community \(Regent Policy 3-B\)](#) [14]

The Board of Regents established "Conflict of Interest Policy Guidelines for Officers, Central Administration, and Board Employees" and approved a policy on "Membership on Boards of External Corporations."

The Board of Regents also endorsed a "Statement on Preventing Conflicts of Interest in Government Sponsored Research at Universities." The statement sets forth conflict situations and university responsibilities. This statement was formulated by the American Council on Education in collaboration with the American Association of University Professors.

Other policies related to Conflict of Interest:

- [APS: Conflicts of Interest and Commitment](#) [15]
- [Regent Policy: Outside Consulting and Service on External Boards \(Regent Policy 3-C\)](#) [16]

## **VI. Curriculum and Instruction**

### **A. Statement on Teaching**

The "Report of the University of Colorado's Committee on Teaching," was endorsed by the Board of Regents on August 14, 1986. With an introductory section listing institutional goals for teaching excellence, this report includes sections on the definition of teaching and the evaluation of teaching.

- RA: Report of the University of Colorado's Committee on Teaching

### **B. Teaching Workload**

Recognizing that undergraduate teaching should be a priority for all faculty in schools and colleges with undergraduate programs, the Board of Regents adopted the "Resolution on Faculty Teaching Workload."

RA: Resolution on Faculty Teaching Workload

### **C. Differentiated Annual Workload**

Policy on the University's commitment to the appropriate use of differentiated annual workloads is set forth in administrative policy.

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## **D. Grading**

Policies for the University's uniform grading system are set forth in administrative policy. The complete text of the uniform grading system is included in this APS.

- APS: Uniform Grading Policy [18]

## **F. Student Academic Ethics and Student Conduct Codes**

Each school or college has developed, over time, policies on academic ethics that apply to students and that establish and maintain appropriate ethical standards of conduct for their respective disciplines. Because the locus of responsibility frequently lies with individual faculty, in terms of presenting ethical standards to students, recognizing violations, and handling violations in a manner consistent with the established policies on academic ethics of the school or college and department, it is important for each faculty member to be aware of the policies in his/her school or college and department. Faculty members are encouraged to consult with the appropriate dean or department chairperson regarding policies on academic ethics.

In addition, faculty members should be aware of the existence of conduct codes that apply to the activities of students, apart from academic ethics. Questions regarding student conduct codes should be directed to the campus Chancellor's Office.

Jurisdiction over matters of academic ethics is established in section 4.A.6, Laws of the Regents. Part B of Article 7, Laws of the Regents establishes standards of conduct for students.

- LOR: Faculty Powers (Section 4.A.5, Laws of the Regents) [19]
- LOR: Standards of Conduct (Part B of Article 7, Laws of the Regents) [20]

## **G. Out-of-State Instruction**

The Colorado Department of Higher Education sets forth policies and procedures for approval of instructional programs offered outside of the State of Colorado.

- CDHE: Extended Studies Policy [21]

## **H. New Degree Proposals**

The Board of Regents has established policy on procedures for approving new degree program proposals. This policy includes procedures for development and review of the concept paper and the full proposal as well as guidelines for program proposals.

- Regent Policy: Procedures for Approving New Degree Program Proposals (Regent Policy 4-J) [22]

## **I. Existing Program Review**

Administrative policy sets forth policies for implementing the Regents' November, 1980 resolution requiring the review of all academic programs once every five years where feasible, but at least once every seven years. Included within this APS are policies and procedures on university objectives of program reviews, review schedules, and campus program reviews.

- APS: Implementation of Regent Policy on Program Review [23]

## **J. Program Discontinuance**

Policies on program discontinuance are set forth in Administrative Policy Statement "Program Discontinuance, Policy for Implementing." This APS identifies those policies used by the University to arrive at an internally initiated decision to close a program. Regent policy "Program Discontinuance" forms the basis of this APS.

Administrative Policy Statement "Program Discontinuance When No Tenured or Tenure-track Faculty Face Dismissal," sets forth an abbreviated process for discontinuing degree programs when no tenured or tenure-track faculty face dismissal.

The Laws of the Regents establish provisions for the termination of faculty for the reason of program discontinuance.

- APS: Program Discontinuance, Policy for Implementing [24]
- APS: Program Discontinuance When No Tenured or Tenure-Track Faculty Face Dismissal [25]
- Regent Policy: Program Discontinuance (Regent Policy 4-H) [26]
- LOR: Terms of Appointment (Subsection 5.B.2(A), Laws of the Regents) [6]

# **VII. Additional Remuneration for Consultative Services**

(One-Sixth Rule)

Regent policy, "Additional Remuneration for Consultative Services" sets forth policy on additional remuneration for consultative services. Separate policies apply to faculty in the School of Medicine, who are subject to provisions of the Medical Services Foundation.

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## **VIII. Sexual Harassment**

Administrative policy sets forth policy prohibiting sexual harassment and related retaliation on University campuses and in University activities and programs. This policy sets forth sexual harassment policy, policy concerning amorous relationships, and contains additional provisions. Campuses are required to establish procedures to enforce policy on sexual harassment. Regent policy forms the basis of this APS.

- APS: Sexual Harassment Policy and Procedures [28]

## **IX. Access to University Records**

### **A. Performance Ratings**

Policies on performance ratings are set forth in administrative policy. Regent policy defines "performance rating" for purposes of responding to requests under the Colorado Open Records Act for performance ratings on faculty and unclassified staff and administrators.

- APS: Performance Ratings for Officers and Exempt Professionals [29]
- Regent Policy: Deferred Compensation Prohibited (Regent Policy 11-D) [30]

### **B. Student Privacy**

Administrative policy sets forth policies to comply with provisions of the "Family Educational Rights and Privacy Act."

- APS: Access to Student Education Records [31]

## **X. Academic Calendar and Commencement**

The Laws of the Regents establish provisions for the University's academic calendar and commencements on the individual campuses of the University.

- LOR: Commencements (Part B of Article 8, Laws of the Regents) [32]

## **XI. Information Resources**

## **A. Use of Electronic Mail**

Policies with regard to use of, access to, and disclosure of electronic mail are set forth in administrative policy.

- [APS: Use of Electronic Mail](#) [33]

## **B. Use of Social Media**

Guidelines for the proper use of social media are provided by the Office of University Relations.

- [Social Media Guidelines](#) [34]

# **XII. Political Participation and Activity**

## **A. Political Participation by Members of the University Community**

The Board of Regents has adopted a number of policies regarding the participation of members of the University community in political activity.

- [RA: Faculty Leave of Absence while Candidate for or Serving in Public Office \(Regent Policy 5-F\)](#) [35]
- [RA: Political Participation of University Community \(Regent Policy 10-I\)](#) [36]
- [RA: Conflict of Interest - - University Community \(Regent Policy 3-B\)](#) [14]

## **B. Federal Lobbying**

Administrative policy sets forth policies to implement the provisions of the Lobbying Disclosure Act of 1995 at the University and defines the rights and responsibilities of those who represent the needs of the University to the Federal government.

- [APS: Federal Lobbying Policies](#) [37]

# **XIII. Use of the University Name and Property**

## **A. University's Name in Advertising**

Policy on use of the University's name in advertising is set forth in Regent policy.

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## **B. University Seal**

Policy on use of the University seal is set forth in Regent policy. "Use of the University Seal." The Laws of the Regents establish provisions on the University seal.

- Regent Policy: Use of the University Seal (Regent Policy 14-A) [39]
- LOR: Commercial Seal (Section 14.A.2, Laws of the Regents) [40]

## **C. Property and Facilities**

The Laws of the Regents establish provisions on principles for the appropriate use of facilities, campus regulations regarding use of facilities, the standard of conduct required of others, identification upon request, and exclusion of persons from University property.

- LOR: Facilities (Part B of Article 14, Laws of the Regents) [40]
- APS: Facilities Use by Non-University Groups - Insurance Requirements [41]

# **XIV. Drug, Alcohol, and Weapons Policies**

## **A. Anti-Drug Abuse**

Each campus has policies and procedures that comply with the Anti-Drug Act of 1988. For campus specific policies, please contact the respective campus HR office.

## **B. Drug-Free Workplace**

Each campus has policies and procedures that comply with The Drug Free Schools and Communities Act. For campus specific policies, please contact the respective campus HR office.

## **C. Weapons Control**

The Board of Regents adopted a statement of policy on Weapons Control.

- Regent Policy: Weapons Control (Regent Policy 14-I) [42]

# **XV. Defense and Indemnification of University Employees**

The Board of Regents adopted a statement of policy "Defense and Indemnification of

University of Colorado Employees," that relies on the provisions of the Colorado Governmental Immunity Act as the statement of its obligation to defend and indemnify University of Colorado employees and sets forth authority for the administration of the policy. The statutory obligations of Colorado public employers for defense and indemnification of public employees are set out in the Colorado Governmental Immunity Act, C.R.S. §24-10-101, et seq.

By separate resolution, "Employee Retention of Counsel at University Expense," it is Regent policy that, except as otherwise provided in Regent policy entitled "Defense and Indemnification of University of Colorado Employees," no University employee, officer or agent may retain private legal counsel at the expense of the University without prior express approval by the Board of Regents.

- Regent Policy: Defense and Indemnification Policy of University of Colorado Employees (Regent Policy 13-D) [43]
- RA: Employee Retention of Counsel at University Expense

## **XVI. Employees with Delinquent Financial Obligations**

Regent policies establish the payment of financial obligations to the University as a condition of employment by the University. Administrative policy sets forth policies and procedures to implement Regent policy in instances when the campus of employment is not the campus which is the creditor. Additional provisions of Regent policy address procedures for declaring past-due outstanding obligations and procedures for the determination of hardship by the Bursar's Office.

- APS: Intercampus Implementation of Regents' Policy on Employees with Delinquent Financial Obligations (rescinded on 1/1/11)
- RA: Policies on Employees with Delinquent University Loans

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**Source URL:** <http://www.cu.edu/office-academic-affairs/academic-principles-professional-rights-and-responsibilities-and-related>

### **Links:**

- [1] [http://www.cu.edu/sites/default/files/PrinciplesProfessionalandEthicalResponsibilities\\_0.pdf](http://www.cu.edu/sites/default/files/PrinciplesProfessionalandEthicalResponsibilities_0.pdf)
- [2] <http://www.cu.edu/regents/laws-and-policies/regent-laws/article-10-nondiscrimination>
- [3] <http://www.cu.edu/regents/policy-10m-commitment-needs-persons-disabilities>
- [4] <http://www.cu.edu/regents/policy-10a-discriminationaffirmative-action-general-policy-statement-and-long-range-goals>
- [5] <http://www.cu.edu/regents/policy-10p-diversity>
- [6] <http://www.cu.edu/regents/article-5-faculty>
- [7] <http://www.aaup.org/report/1940-statement-principles-academic-freedom-and-tenure>
- [8] <http://www.cu.edu/ope/policy/aps-1023-restricted-proprietary-and-classified-research>
- [9] <http://www.cu.edu/regents/policy-4f-classified-research>
- [10] <http://www.cu.edu/ope/aps-1013-intellectual-property-policy-discoveries-and-patents-their-protection->

and

- [11] <http://www.cu.edu/ope/policy/aps-1014-intellectual-property-educational-materials>
- [12] <http://www.cu.edu/ope/policy/aps-1007-misconduct-research-scholarship-and-creative-activities>
- [13] <http://www.cu.edu/ope/policy/aps-4012-fiscal-misconduct-reporting>
- [14] <http://www.cu.edu/regents/policy-3b-conflict-interest-university-community>
- [15] <http://www.cu.edu/ope/efficiency-and-effectiveness/presidents-task-force-efficiency/aps-5012-conflicts-interest-and>
- [16] <http://www.cu.edu/regents/policy-3c-outside-consulting-and-service-external-boards>
- [17] <http://www.cu.edu/ope/policy/aps-1006-differentiated-annual-workloads-faculty>
- [18] <http://www.cu.edu/ope/efficiency-and-effectiveness/presidents-task-force-efficiency/aps-1025-uniform-grading-policy>
- [19] <http://www.cu.edu/regents/laws-and-policies/regent-laws/article-4-organization-academic-units>
- [20] <http://www.cu.edu/regents/article-7-students>
- [21] <http://highered.colorado.gov/Publications/Policies/#esp>
- [22] <http://www.cu.edu/regents/policy-4j-interim-policy-and-procedures-approving-new-degree-program-proposals>
- [23] <http://www.cu.edu/ope/policy/aps-1019-implementation-regent-policy-program-review>
- [24] <http://www.cu.edu/ope/policy/aps-1015-implementing-program-discontinuance>
- [25] <http://www.cu.edu/ope/policy/aps-1010-program-discontinuance-when-no-tenured-or-tenure-track-faculty-face-dismissal>
- [26] <http://www.cu.edu/regents/policy-4h-program-discontinuance>
- [27] <http://www.cu.edu/regents/policy-5e-additional-remuneration-consultative-services>
- [28] <http://www.cu.edu/ope/efficiency-and-effectiveness/presidents-task-force-efficiency/aps-5014-sexual-harassment-policy>
- [29] <http://www.cu.edu/ope/policy/aps-5008-performance-ratings-faculty>
- [30] <http://www.cu.edu/regents/policy-11d-deferred-compensation-prohibited>
- [31] <http://www.cu.edu/ope/policy/aps-2007-access-student-education-records>
- [32] <http://www.cu.edu/regents/laws-and-policies/regent-laws/article-8-calendar>
- [33] <http://www.cu.edu/ope/efficiency-and-effectiveness/presidents-task-force-efficiency/aps-6002-use-electronic-mail>
- [34] <http://www.cu.edu/university-relations/social-media-guidelines>
- [35] <http://www.cu.edu/regents/policy-5f-faculty-leave-absence-while-candidate-or-serving-public-office>
- [36] <http://www.cu.edu/regents/policy-10i-political-participation-university-community>
- [37] <http://www.cu.edu/ope/policy/aps-2004-federal-lobbying-activities>
- [38] <http://www.cu.edu/regents/policy-14b-use-universitys-name-advertising>
- [39] <http://www.cu.edu/regents/policy-14a-use-university-seal>
- [40] <http://www.cu.edu/regents/laws-and-policies/regent-laws/article-14-property-and-facilities>
- [41] <http://www.cu.edu/ope/efficiency-and-effectiveness/presidents-task-force-efficiency/aps-7001-facilities-use-non>
- [42] <http://www.cu.edu/regents/policy-14i-weapons-control>
- [43] <http://www.cu.edu/regents/policy-13d-defense-and-indemnification-university-colorado-employees>