

Regent Laws and Policies Review
Article 3 and Policy 3

REGENT LAW

Article 3: Officers of the University and Administration

- Part A. Officers
- Part B. Officers of the University
- Part C. Officers of the Administration

Crosswalk to current laws and policies

NEW

- Regent Law 3.A.1
- Regent Law 3.A.2

REGENT POLICY

Policy 3: Officers of the University

Policy 3A: Definitions of Officers of the University

- 3.A.1: President
- 3.A.2: University Counsel and Secretary
- 3.A.3: Treasurer
- 3.A.4: Associate Vice President of Internal Audit

- Regent Law 3.B.1
- Regent Law 3.B.2
- Regent Law 3.B.3
- Regent Law 3.B.4

Policy 3B: Definitions of Officers of the Administration

- 3.B.1 Chancellors
- 3.B.2 Other Officers of the Administration

- Regent Law 3.B.6
- Regent Law 3.B.5 and 3.B.7

Policy 3E: Appointments of Officers

- 3.E.1 Conditions of Appointments

Regent Law 3.C.2

Policy 3F: Evaluations for Officers

- 3.F.1: Annual Evaluations
- 3.F.2: Comprehensive Evaluations
- 3.F.3: Presidential Annual Evaluation
- 3.F.4: Annual Evaluation for all other Officers of the University

- Regent Law 3.D.1 and Regent Policy 3.G.D.1
- Regent Law 3.D.2 and Regent Policy 3.G.D.2
- Regent Policy 3K
- Regent Policy 3.G.F

Policy 3G: Officer Emeritus/Emerita

- 3.G.1: Officers of the University
- 3.G.2: Officers of the Administration

- Regent Law 9.B.2(C)
- Regent Law 9.B.2(B)

REGENT LAW: Article 3: Officers of the University and Administration and University Staff

PART A: DEFINITIONS OF OFFICERS AND UNIVERSITY STAFF

Officers are responsible for carrying out the strategic plans and policies as established or approved by the Board of Regents. Officers have executive powers delegated to them in the areas of academic programs and core administrative areas. Officers are subject to all federal, state, and university laws and policies for University Staff.

3.A.1 PART B: Officers of the University

There shall be ~~four~~ five officers of the university: 1. the president; 2. the university counsel ~~and 3. s~~ Secretary of the Board of Regents; ~~3~~ 4. the treasurer; and ~~5.~~ associate vice president of internal audit

The Board of Regents shall elect the president in accordance with the laws of the State of Colorado.

The Board of Regents shall elect the secretary of the Board of Regents in accordance with the laws of the State of Colorado.

The Board of Regents, in consultation with the president, shall elect the university counsel, the treasurer and the associate vice president of internal audit in accordance with the laws of the State of Colorado.

The Board of Regents may appoint a single person to serve in the offices of university counsel and secretary of the Board of Regents in its discretion.

All officers of the university serve at the pleasure of the Board of Regents.

3.A.2 PART C: Officers of the Administration

Officers of the administration shall be those individuals who hold the title or interim/acting title of chancellor; vice president; associate vice president; vice chancellor; associate vice chancellor; associate counsel; and deans of the schools, colleges, and libraries. are as defined in regent policy. [See regent policy 3-J]

Upon notification to the Board of Regents, the president and chancellors may designate positions of assistant vice president or assistant vice chancellor as officers of the administration.

3.A.3 University staff hold positions that have been exempted from the state personnel system pursuant to state law and are neither officers nor faculty.

PART B: RESPONSIBILITIES

3.B.1 President

(A) As provided by the state constitution and state law, the president shall be the principal executive officer of the university, a member of the faculty, and shall carry out the policies and programs established by the Board of Regents.

[See section 13 of Article IX of the state constitution and C.R.S. §23-20-106]

(B) As the principal executive officer, the president shall be responsible for the administration of the university and for compliance of all university matters with applicable regent Laws and policies and state and federal constitutions, laws, and regulations. The president shall be the arbiter in case of intra-university conflicts.

(C) The president shall report directly to the Board of Regents, serve at its pleasure, and hold office until removed by the Board of Regents.

(D) The president shall be the chief academic officer of the university and a member of its faculty thereof. As chief academic officer, the president shall be responsible for providing academic leadership for the university in meeting the needs of the state and shall maintain and advance the academic policies of the university.

FEEDBACK

- 55 (E) The president shall be the chief spokesperson for the university and interpreter of university policy and
56 shall represent and interpret the roles, goals, and needs of the university throughout the state and
57 elsewhere as appropriate.
- 58
- 59 (F) The president shall be an ex officio member of the Faculty Council, president of the Faculty Senate, and
60 chair of the Council of Academic Deans.
- 61
- 62 (G) The president is authorized:
- 63
- 64 (1) to approve the appointments and any subsequent related changes, including salaries, in accordance
65 with the delegation of personnel authority approved by the Board of Regents; and
- 66
- 67 (2) to accept, on behalf of the Board of Regents, resignations of all university employees except the
68 secretary, treasurer, university counsel, and those for whom appointing authority has been delegated
69 in accordance with regent policy.
- 70
- 71 [See regent policy 2-K]
- 72
- 73 (H) The president is authorized to make and execute contracts on behalf of the university without the prior
74 approval of the Board of Regents, except as may be limited by law, or when the Board of Regents has
75 expressly provided otherwise for a specific contract or category of contracts, or when the president
76 determines that unusual or special terms of the contract require consideration by the Board of Regents.
- 77
- 78 (I) Petitions and recommendations shall be referred to the Board of Regents through the president who, in
79 consultation with the secretary of the Board of Regents, shall bring these and other matters to the
80 attention of the Board of Regents to keep it fully informed in meeting its policy-making responsibilities.
- 81
- 82 (J) Any authority delegated to the president by these Laws may be further delegated, except as expressly
83 limited by the Board of Regents or as limited or prohibited by law.

84 **3.B.2 University Counsel and Secretary**

85

- 86
- 87 (A) The university counsel and secretary shall be the general counsel of the university, and when so
88 designated, shall act as the representative of the attorney general of the state. The university counsel and
89 secretary shall be the legal advisor to the president and Board of Regents, and shall institute and
90 prosecute or defend all suits on behalf of the university.
- 91
- 92 (B) The university counsel and secretary shall be the corporate secretary of the Board of Regents, and shall
93 perform the duties set forth in C.R.S. §23-20-108, and such other duties as may be assigned by the
94 Board of Regents.
- 95
- 96 (C) The university counsel and secretary shall report jointly to the Board of Regents and to the president. In
97 the event of a conflict, the university counsel and secretary reports directly to the Board of Regents.

98

99 **3.B.3 Treasurer**

- 100 (A) The treasurer shall perform the duties set forth in C.R.S. §23-20-109. The treasurer shall give bond in the
101 penalty of not less than twenty-five thousand dollars, and such further amounts as the Board of Regents
102 may specify, conditioned for the faithful discharge of duties.
- 103
- 104 (B) The treasurer is the chief investment officer, who shall be responsible to the Board of Regents and the
105 president (or the president's designee) for all treasury functions, including investing university funds, cash
106 management, debt management, and maintaining real property records in accordance with
107 these Laws and policies. The treasurer shall perform such other duties as may be assigned by the Board
108 of Regents or the president (or the president's designee).
- 109
- 110 (C) The treasurer shall advise the Board of Regents and the president (or the president's designee) on
111 treasury matters and issues.
- 112
- 113 (D) The treasurer shall report jointly to the Board of Regents and to the president (or the president's
114 designee). In the event of a conflict, the treasurer reports directly to the Board of Regents.
- 115

FEEDBACK

3.B.4 Associate Vice President of Internal Audit

- (A) The associate vice president shall perform the duties set forth in the Department of Internal Audit Charter as adopted by the Board of Regents November 2, 2006.
- (B) The associate vice president shall report jointly to the Board of Regents and to the vice president, university counsel and secretary of the Board of Regents. In the event of a conflict, the associate vice president of internal audit reports directly to the Board of Regents.
- (C) The associate vice president of internal audit will conduct its activities in accordance with:
 - a. Board of Regents laws and policies; (2) university policies and standards; (3) and, if consistent with the foregoing, with the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.
- (D) The associate vice president of internal audit shall keep the Audit Committee informed of the Department of Internal Audit's policies, procedures and practices for conducting audits, investigations and consulting activity, as well as emerging trends and successful practices in internal auditing.

Commented [LL1]: Moved to Regent Policy 3A

3.B.5 Vice Presidents

The vice presidents shall support the president in the performance of university duties and responsibilities. In addition, the vice presidents shall maintain effective working relationships with the executive agencies of the state and perform such other duties as are assigned by the president.

3.B.6 Chancellors

- (A) The chancellor of each campus shall be the chief academic and administrative officer responsible to the president for the conduct of the affairs of their respective campus in accordance with the policies of the Board of Regents. The chancellor shall have such other responsibilities as may be required by these Laws or regent policy, or as may be delegated by the president.
- (B) As provided by state law, the chancellor of the University of Colorado Health Sciences Center shall also serve as the chair of the University of Colorado hospital authority board of directors.

[See C.R.S. §23-21-513(n)]

3.B.7 Other Officers of the Administration

Officers of the administration shall report to the president, either directly or through another officer, and shall perform duties and responsibilities as assigned.

Commented [LL2]: Moved to Regent Policy 3B

3.B.8 University Staff

University staff shall perform duties and responsibilities as assigned. [See regent policy 3-J]

PART C: APPOINTMENTS

3.C.1 General Guidelines

- (A) The Board of Regents shall elect the president, secretary, and treasurer in accordance with the state constitution and laws, who shall serve at the pleasure of the Board of Regents.
- (B) The Board of Regents, in consultation with the president, shall elect a university counsel and secretary who shall serve at the pleasure of the Board of Regents.
- (C) The selection of the president, vice presidents, chancellors, vice chancellors, and deans shall be a collaborative process as defined in regent policy.
- (D) Temporary Appointment to President of the University of Colorado. In the event of a president's inability to act, whether as the result of a prolonged absence or incapacity, the chair of the Board of Regents may, after consultation with the chancellors, appoint a temporary president of the University of Colorado. The

Commented [LL3]: Rewritten into Regent Law Article 3 Part B

Commented [LL4]: Moved to Regent Policy 3.D.1

FEEDBACK

chair may appoint either an incumbent chancellor or an incumbent vice president. The temporary president shall have all of the powers of and be subject to all of the restrictions imposed on the president.

(E) Within five business days of the chair of the Board of Regents' appointment of a temporary president, the Board of Regents shall convene, either by regular or special meeting, and appoint an interim president to serve as the president of the University of Colorado. The interim president shall have all of the powers of and be subject to all of the restrictions imposed on the president. The interim president shall serve at the discretion of the Board of Regents until such time as the Board of Regents appoints a permanent president.

Commented [LL5]: Moved to Regent Policy 3.C.4

3.C.2 Conditions of Appointments for University Staff

(A) The terms and conditions of every appointment shall be stated in writing and shall be in the possession of both the university and the appointee, whenever possible, before the appointment is begun.

(B) Except as otherwise expressly provided in an individual employment contract as authorized by state law, university staff are employees at will in their university staff positions. Service as university staff is at the pleasure of the appointing authority. The appointment is terminable by either the employee or the appointing authority at any time.

[See C.R.S. §24-50-135 and C.R.S. §24-19-104]

Commented [LL6]: Moved to Regent Policy 3E

PART D: EVALUATIONS

3.D.1 University staff shall be evaluated on an annual basis in accordance with these Laws and regent policy.

3.D.2 The president, secretary, treasurer, university counsel, vice presidents, chancellors, vice chancellors, and deans shall be subject to a five-year comprehensive evaluation in accordance with these Laws and regent policy.

Commented [LL7]: Moved to Regent Policy 3F

PART E: PROFESSIONAL CONDUCT

Employees must uphold ethical standards appropriate to their position within the university as defined in state law and regent policies. These include but are not limited to standards applicable to conflicts of interest and conflicts of commitment.

Commented [LL8]: Moved to Regent Policy on Conduct

REGENT POLICY: 3: Officers and University Staff

Policy 3B: Conflict of Interest—University Staff

1. Obligations of University Staff

With the acceptance of a full- or part-time appointment at the University of Colorado, a university staff person agrees to conduct his or her affairs so that he or she shall not derive private gain from his or her association with the university, except as permitted by regent or university policies after appropriate disclosure to an appropriate official. University staff shall act in the best interest of the university, and arrange outside obligations, financial interests, and activities so as to not compromise their overriding commitment to the university.

2. Officer Disclosure of Outside Interests

Officers shall submit an annual written disclosure of material outside interests and activities and the supervising authorities shall review such disclosures for possible conflicts of interest. The President of the University of Colorado shall establish a materiality threshold for such disclosures, and shall periodically review that threshold.

Policy 3C Outside Consulting and Service on External Boards

University staff may be asked to provide consulting services to external organizations or to serve on boards of external organizations (collectively referred to as "Outside Services"). This policy sets forth the conditions under which university staff may engage in Outside Services that may affect the university or the university staff employment responsibilities.

General:

1. All Outside Services that occur during an university staff's normal working hours, for which no vacation leave is taken, are subject to approval by the university staff's supervising authority. Supervising

FEEDBACK

229 authorities may authorize such Outside Services as long as such services advance the interest of the
230 university and do not unduly conflict with the employee's university employment responsibilities.

231
232 2. Consistent with state fiscal rules on honoraria, any compensation received for Outside Services occurring
233 during the university staff's normal working hours must be remitted to the university unless the university
234 staff is on authorized vacation or unpaid leave.

235
236 3. University staff's providing Outside Services for organizations that do business with the university shall
237 disclose their involvement with the external organization to their supervising authority for appropriate
238 conflict of interest considerations under Board and university policy.

239
240 4. University staff's who receive compensation or other remuneration from an external organization for
241 Outside Services shall not make or influence university decisions with respect to any business relations
242 and decisions that involve the external organization.

243
244 **Officers:**

245 The following additional conditions are set forth for officers engaged in Outside Services:

246
247 1. Outside Services may not unduly conflict with the officer's university employment responsibilities,
248 regardless of when they occur.

249
250 2. Outside Services for which compensation is received is permitted only if:

251
252 • the Outside Services are requested because of the individual merit, expertise, and experience of the
253 university officer; and

254
255 • the Outside Services are disclosed to and are subject to the approval of the individual with personnel
256 action authority as described in Policy 2-K.

Commented [LL9]: Moved to Regent Policy on Conduct

257
258 **Policy 3A: Definitions of Officers of the University**

259
260 **3.A.1 President**

261 (A) As provided by the ~~state constitution and state law laws of the State of Colorado~~, the president shall be
262 the principal executive officer of the university, a member of the faculty, and shall carry out the policies
263 and programs established by the Board of Regents.

264
265 [See section 13 of Article IX of the state constitution and C.R.S. §23-20-106Section 23-20-106 C.R.S.]

266
267 (B) As the principal executive officer, the president shall be responsible for the ~~administration academic,~~
268 ~~administrative, and fiscal matters~~ of the university and for compliance of all university matters with
269 applicable regent Laws and policies and state and federal constitutions, laws, and regulations. The
270 president shall be the arbiter in case of intra-university conflicts. ~~The president may delegate the~~
271 ~~responsibility of the university academic, administrative and fiscal operations, so long as the delegation is~~
272 ~~consistent with other university laws and policies and with federal and state law.~~

273
274 (C) The president shall report directly to the Board of Regents, serve at its pleasure, and hold office until
275 removed by the Board of Regents.

276
277 (D) The president shall be the chief academic officer of the university and a member of its faculty thereof. As
278 chief academic officer, the president shall be responsible for providing academic leadership for the
279 university in meeting the needs of the state and shall maintain and advance the academic policies of the
280 university.

281
282 (E) The president shall be the chief spokesperson for the university and interpreter of university policy and
283 shall represent and interpret the roles, goals, and needs of the university throughout the state and
284 elsewhere ~~as appropriate~~.

285
286 (F) The president shall be an ex officio member of the Faculty Council, ~~and~~ president of the Faculty Senate,
287 ~~and chair of the Council of Academic Deans.~~

Commented [LL10]: This Council does not exist

288 ~~(G)~~(F) The president is authorized:

289 ~~(3)~~(1) to approve ~~the~~ appointments and any subsequent related changes, including salaries, in
290 accordance with the delegation of personnel authority approved by the Board of Regents; and

291 ~~(4)~~(2) to accept, on behalf of the Board of Regents, resignations of all university employees except the
292 university counsel, secretary of the Board of Regents, treasurer, university counsel, and associate
293 vice president of internal audit, those for whom appointing authority has been delegated in
294 accordance with regent policy.

295 [See regent policy 2-K]

296 ~~(H)~~(G) The president is authorized to make and execute contracts on behalf of the university without the
297 prior approval of the Board of Regents, except as may be limited by law, or when the Board of Regents
298 has expressly provided otherwise for a specific contract or category of contracts, ~~or when the president~~
299 ~~determines that unusual or special terms of the contract require consideration by the Board of Regents.~~

300 ~~(I)~~(H) The president shall advise the Board of Regents of matters that the Board of Regents should
301 consider in meeting its policy-making responsibilities. Petitions and recommendations shall be referred to
302 the Board of Regents through the president who, in consultation with the secretary of the Board of
303 Regents, shall bring these and other matters to the attention of the Board of Regents to keep it fully
304 informed in meeting its policy-making responsibilities.

305 ~~(J)~~ Any authority delegated to the president by these Laws may be further delegated, except as expressly
306 limited by the Board of Regents or as limited or prohibited by law.

314 **3.A.2 University Counsel and Secretary**

315 (A) The university counsel ~~and secretary~~ shall be the general counsel of the university, and when so
316 designated, shall act as the representative of the attorney general of the state. The university counsel ~~and~~
317 ~~secretary~~ shall be the legal advisor to the president and Board of Regents, and shall institute and
318 prosecute or defend all suits on behalf of the university.

319 ~~(B)~~ The university counsel ~~and secretary~~ shall be the corporate secretary of the Board of Regents, and shall
320 perform the duties set forth in C.R.S. §23-20-108, and such other duties as may be assigned by the
321 Board of Regents.

322 (B) The university counsel ~~and secretary~~ shall report jointly to the Board of Regents and to the president. In
323 the event of a conflict, the university counsel ~~and secretary~~ reports directly to the Board of Regents.

324 **3.A.3 Secretary of the Board of Regents**

325 (A) The secretary of the Board of Regents shall be the corporate secretary of the Board of Regents, and shall perform the
326 duties set forth in Section 23-20-108 C.R.S. and such other duties as may be assigned by the Board of Regents.

327 (B) The secretary of the Board of Regents report to the Board of Regents and works collaboratively with the president and
328 other members of the university administration.

329 **3.A.3 Treasurer**

330 (A) The treasurer shall perform the duties set forth in C.R.S. §23-20-109. The treasurer shall give bond as
331 required by the laws of the State of Colorado or in the penalty of not less than twenty-five thousand
332 dollars, and such further amounts as the Board of Regents may specify, conditioned for the faithful
333 discharge of duties.

334 (B) The treasurer is the chief investment officer, who shall be responsible to the Board of Regents and the
335 president ~~(or the president's designee)~~ for all treasury functions, including investing university funds, cash
336 management, debt management, and maintaining real property records in accordance with
337 these Laws and policies. The treasurer shall perform such other duties as may be assigned by the Board
338 of Regents, ~~or the president, or the Chief Financial Officer of the university, (or the president's designee).~~

FEEDBACK

- (C) The treasurer shall advise the Board of Regents, ~~and the president~~, and the Chief Financial Officer ~~(or the president's designee)~~ on treasury matters and issues.
- (D) The treasurer shall report jointly to the Board of Regents and to the president or the Chief Financial Officer ~~(or the president's designee)~~. In the event of a conflict, the treasurer reports directly to the Board of Regents.

3.A.4 Associate Vice President of Internal Audit

- (A) The associate vice president shall perform the duties set forth in the Department of Internal Audit Charter as adopted and amended by the Board of Regents, ~~November 2, 2006~~.
- (B) The associate vice president shall report jointly to the Board of Regents and to the ~~vice president,~~ university counsel ~~and secretary of the Board of Regents~~. In the event of a conflict, the associate vice president of internal audit reports directly to the Board of Regents.
- (C) The associate vice president of internal audit will conduct its activities in accordance with:
- ~~Board of Regents~~ laws and policies;
 - ~~(2)~~ university policies and standards;
 - ~~(3)~~ and, if consistent with the foregoing, with the Institute of Internal Auditors' *International Standards for the Professional Practice of Internal Auditing*.
- (D) The associate vice president of internal audit shall ~~keep the~~ inform the Regent's Audit Committee ~~informed~~ of the Department of Internal Audit's policies, procedures and practices for conducting audits, investigations and consulting activity, as well as emerging trends and successful practices in internal auditing.

Policy 3B: Definitions of Officers of the Administration

3.B.16 Chancellors

- (A) The chancellor of each campus shall be the ~~campus's~~ chief executive officer and shall be the chief academic, fiscal and administrative officer responsible to the president for the conduct of the ~~affairs of their respective campus~~ in accordance with the policies of the Board of Regents. The chancellor shall have such other responsibilities as may be required by these Laws or regent policy, or as may be delegated by the president.
- ~~(B) As provided by state law, the chancellor of the University of Colorado Health Sciences Center shall also serve as the chair of the University of Colorado hospital authority board of directors.~~

[See C.R.S. §23-21-513(n)]

3.B.27 Other Officers of the Administration

~~All other~~ officers of the administration shall report and have their duties as defined in the applicable position description, shall report to the president, either directly or through another officer, and shall perform duties and responsibilities as assigned.

Commented [LL11]: Statute changed and does not need to be reflected in policy. The C.R.S. states "...except that the president of the university of Colorado shall designate the director who shall be the presiding officer of the board of directors."

Policy 3E: Appointments of Officers of the University and Officers of the Administration and Evaluations of

University Staff

Definitions:

~~1. Appointing authority. The "appointing authority" means the Board of Regents or the Board's delegate as authorized by Regent Policy 2-K.~~

FEEDBACK

2.—Supervising authority. The "supervising authority" means the individual to whom the employee directly reports. For those employees reporting to the Board of Regents, the "supervising authority" means the Board of Regents.

3.E.1 Conditions of appointments for university staff:

(A) The terms and conditions of every appointment shall be stated in writing and shall be in the possession of both the university and the appointee, whenever possible, before the appointment is begun.

(B) Except as otherwise expressly provided in an individual employment contract, as authorized by state law, officers are employees-at-will in their positions. Service as an officer is at the pleasure of the appointing authority. The appointment is terminable by either the employee or the appointment authority at any time.

(C) Officer are subject to all laws, policies and regulations for university staff.

Employee-at-will. In accordance with C.R.S. §24-19-104 university staff shall be employees-at-will in their university staff positions unless expressly provided an employment contract authorized by C.R.S. §24-19-104(1.5). An employee-at-will shall be appointed for an indefinite period of time. The appointment is terminable by either the employee or the appointing authority at any time. The terms and conditions of an appointment shall be set forth in a letter of offer in compliance with state law and university policy.

3.—Term employment contracts and employment extensions

In accordance with CRS §24-19-104 (1.5) each campus and system administration may have in effect not more than six employment contracts or employment contract extensions of not more than five years. A term employment contract has an explicit termination date and means that the appointment does not continue after that date unless the Board of Regents approves an extension of the term employment contract.

A term employment contract for a specific term is not a guarantee of a particular position, duties, or salary for the term of appointment. The appointing authority may make an administrative reassignment at a salary appropriate for the new position.

B.—Position descriptions:

The supervising authority shall develop and maintain a position description outlining the duties and responsibilities.

3.F Evaluations for officers of the university and officers of the administration of university staff:

~~Evaluations shall be based upon the position description and performance planning between supervisor and individual. Evaluations should provide constructive feedback on the university staff's service.~~

3.F.1 Annual annual evaluations.

(A) Officers of the university shall be evaluated on an annual basis by the Board of Regents.

(B) Officers of the administration shall be evaluated on an annual basis by their current supervisor.

© Evaluations shall be based upon the position description and performance planning between supervisor and individual. Evaluations should provide constructive feedback on the university staff's officer's service.

~~University staff shall be evaluated on an annual basis in accordance with Regent Policy 11-F.1.~~

3.F.2 Comprehensive evaluations

~~for officers.~~ (A) The president, university counsel and secretary, treasurer, university counsel, associate vice president of internal audit, and vice presidents, chancellors, vice chancellors, and

FEEDBACK

deans of schools, colleges and libraries shall be subject to a comprehensive evaluation ~~not less frequently than at least once in each every~~ five years of service ~~in accordance with Regent Laws and policy.~~ However, at the discretion of the supervising or appointing authority these officers may be evaluated comprehensively at any time.

(B) All other officers of the administration may be subject to a comprehensive evaluation per campus or system procedure.

(C) The supervising authority directs comprehensive evaluations. In the event that an officer has more than one supervising authority, the comprehensive evaluation process shall be jointly defined and conducted. An assessment of the officer's fulfillment of long-term responsibilities over the comprehensive evaluation period shall include consultation with appropriate individuals from inside and outside of the university and consideration of the resources and other support needed to fulfill responsibilities. The officer under review shall provide a statement of accomplishments, self-evaluation, and long-term objectives. Upon completion of the comprehensive evaluation, the supervising authority shall make any necessary changes to the officer's position description, in accordance with university policies.

Information received or created, except the summary report, as a part of an evaluation shall be placed in the officer's personnel file and shall be considered confidential. However, such information shall be available to the individual being evaluated except for letters of reference or if the individual as waived the right of access. The summary report of the evaluation shall be prepared, shall be available to the public and shall be placed into the officer's personnel file.

- ~~1. Other evaluations. The supervising authority or appointing authority may conduct evaluations in any form and at any time deemed appropriate for any university staff. Information received or created, except the summary report, as a part of an evaluation shall be placed in the university staff's personnel file and shall be considered confidential. However such information shall be available to the individual being evaluated except as such information is a letter of reference or the individual as waived the right of access. The summary report of the evaluation shall be prepared, shall be available to the public and shall be placed into the university staffs personnel file.~~

C. University staff holding regular faculty appointments:

~~In those cases where an university staff also holds a regular faculty appointment within a school or college, the administrative and academic appointments will be treated independently, subject to applicable rules and policies.~~

D. Evaluation of non-presidential personnel with reporting roles to Board of Regents (university counsel and secretary of the Board of Regents; university treasurer; and associate vice president of internal audit):

~~Consistent with the Laws of the Regents and Regent Policy, the performance of university staff with reporting roles to the Board of Regents will be evaluated and rated annually. The performance evaluation will be based upon the position description and performance planning between the relevant board member and employee. The performance evaluation provides the basis for individual performance ratings and merit and other pay adjustments. The performance rating is the overall summary rating of the individual's performance and constitutes the public record of rating, in accordance with the Colorado Open Records Act.~~

DEFINITIONS

~~Performance Evaluation: Performance evaluation is a collaborative supervisor/employee process that begins with identification of job responsibilities found in a position description, the contract/letter of offer, and in the unit's workload policies. Performance evaluation includes mutual agreement on a performance plan, as well as feedback on defined goals and objectives. Performance evaluation concludes with an assessment of performance. During a performance evaluation, documents and comments from a variety of individuals that relate to an individual's performance may be collected and reviewed.~~

~~Performance Rating: A performance rating derived from the evaluation process is a five to one (5-1) point summary rating defined as follows:~~

FEEDBACK

512 5—Outstanding. Far exceeds performance expectations on a consistent and uniform basis. Work is
513 of exceptional quality in all essential areas of responsibility. In addition, makes an exceptional or
514 unique contribution in achievement of unit, department, and University objectives

515
516 4—Exceeding Expectations. Always achieves performance expectations and frequently exceeds
517 them. Demonstrates performance of a **very** high level of quality in all areas of responsibility.

518
519 3—Meeting Expectations. Consistently fulfills performance expectations and periodically may
520 exceed them. Work is of high quality in all significant areas of responsibility.

521
522 2—Below Expectations. Fails to meet expectations in one or two of the significant/ essential
523 position requirements and improvement is needed in these areas.

524
525 1—Fails to Meet Expectations. Fails to meet expectations in more than two of the significant/
526 essential position requirements and improvement is needed in most aspects of position.

STATEMENT OF POLICY

528 University staff with reporting roles to the Board of Regents will be evaluated and receive a performance
529 rating on an annual basis. Individual performance evaluations and ratings provide the basis for annual
530 merit and other pay adjustments. The process for such evaluations shall be as follows:

- 531
532 a.—The performance evaluation of the individual shall begin with the individual's self-assessment of performance.
533 This self-assessment will be based on defined goals and objectives previously established and agreed by the
534 relevant board member and the individual. This relevant board member for each position is as follows:
- 535
536 i.—The chair of the Board of Regents for the university counsel and secretary of the Board of
537 Regents
 - 538
539 ii.—The chair of the Regent Audit Committee for the associate vice president of internal audit
 - 540
541 iii.—The chair of the Regent Budget and Finance committee for the university treasurer
- 542
543 b.—The completed self-assessment will be provided to both the relevant board member as well as the appropriate
544 University of Colorado officer assigned to the individual:
- 545
546 i.—The president, in consultation with the chancellors, shall review the self-assessment and
547 provide comments to the university counsel and secretary of the Board of Regents.
 - 548
549 ii.—The vice president, university counsel and secretary of the Board of Regents, in
550 consultation with the president and the chancellors, shall review and provide comments
551 to the associate vice president of internal audit.
 - 552
553 iii.—The vice president and chief financial officer, in consultation with the vice chancellors and
554 chief financial officers, shall review and provide comments to the university treasurer.
- 555
556 c.—The University of Colorado officer reviewing the self-assessment shall meet with the individual to discuss the
557 assessment and the related feedback.
- 558
559 d.—The appropriate University of Colorado officer shall prepare a confidential memorandum that discusses the
560 self-assessment, the meeting and the feedback received on the individual's performance during the
561 evaluation period, makes a preliminary recommendation of the performance rating to be assigned to the
562 individual, discusses potential goals for the upcoming evaluation period, and, if appropriate, recommends any
563 merit or other pay adjustments:
- 564
565 i.—The president shall transmit the memorandum related to the university counsel and
566 secretary of the Board of Regents to the chair of the Board of Regents.
 - 567
568 ii.—The vice president, university counsel and secretary of the Board of Regents shall transmit
569 the memorandum related to the associate vice president of internal audit to the chair of the
570 Regent Audit Committee.
 - 571
572

FEEDBACK

iii. The vice president and chief financial officer shall transmit the memorandum related to the university treasurer to the chair of the Regent Budget and Finance Committee.

e. The regent who receives the memorandum shall meet with the individual to discuss the assessment. It is the sense of the board that the assigned regent shall consult with the relevant committee members and, if appropriate, the entire board, before assigning a performance rating to be assigned to the individual, defining goals for the upcoming evaluation period, and, if appropriate, recommending any merit or other pay adjustments.

f. The assigned regent shall transmit the performance rating and any recommended merit or other pay adjustments to the Board of Regents for approval.

g. Upon approval by the Board of Regents, the chair of the Board of Regents shall document the performance rating on the University Staff Annual Performance Rating Form.

i. The individual has the right to append a response to the rating if he or she so desires.

ii. The chair of the Board of Regents and the individual will sign the performance rating form to acknowledge that the rating has been discussed.

iii. The supervising authority will retain the original signed rating form and provide the rated employee a copy of the signed form.

h. The performance rating form will be placed in the employee's personnel file. The performance rating is subject to disclosure under the Colorado Open Records Act. Any written justification for the performance rating may also be placed in the personnel file but will not be disclosed to anyone other than the employee and university personnel with a demonstrated business need. Human resources offices are responsible for approving such access.

i. Performance ratings for annual merit or salary adjustment consideration shall be submitted to the applicable human resources office in accordance with individual campus-defined submittal dates.

j. The performance rating is only one item of information that may be used, consistent with the Laws of the Regents and university policy, in the annual salary setting process or in comprehensive administrative evaluations.

Commented [LL12]: Move to below presidential evaluation

Policy 3I: Compensation for Administrative Officers Returning to Any Faculty Positions

An administrator who holds a tenured position at the University of Colorado has the right to return to his/her tenured faculty position upon conclusion of the administrative appointment.

Letters of offer or addenda for administrators who are also tenured faculty shall include reference to this policy, and a copy of this policy shall be attached.

The faculty salary of an administrator returning to a faculty position shall be determined by the appointing authority in consultation with the dean of the college and the chair of the unit in which the faculty position is rostered. The appropriate salary shall be based upon the faculty member's academic and administrative experience, expertise, standing in the discipline, and the functions the faculty member is expected to perform. The faculty member's salary shall be within the salary range of faculty of the same rank in the academic unit and shall be no higher than the highest salary in the academic unit. Only under the most extraordinary circumstances, may the president (or the Board of Regents in the case of a president returning to the faculty) authorize and approve exceptions to this policy.

For those administrators who were receiving an administrative stipend in addition to a faculty salary, the stipend shall end upon returning to a faculty position.

Commented [LL13]: Move to Regent Policy 11

Policy 3J: Definitions of University Employees who are Exempt from the State Personnel System

1. Officers of the university shall be as described in Regent Laws Article 3.A.1.

FEEDBACK

- ~~2. Officers of the administration as referred to in Regent Laws 3.A.2 shall be those individuals who hold the title or interim/acting title of vice president; chancellor; associate vice president; assistant vice president; vice chancellor; associate vice chancellor; associate university counsel; and deans of the schools, colleges, and libraries.~~
- ~~3. Further, on written request the president may designate other officers of the administration.~~
- ~~4. The designation "officer" shall be included in the letter of offer and the university's official personnel roster. Consistent with the state law, officers of the university and officers of the administration are exempt from the state personnel system.~~

Policy 3.K-3.F.3 Presidential Annual Evaluation

1. Policy

~~It is the policy of the~~ The Board of Regents ~~that it~~ shall evaluate the President of the University of Colorado on an annual basis.

2. Purpose

The purpose of this policy is to establish and communicate the Board of Regents' expectations of the President of the University of Colorado and to establish procedures to annually evaluate performance. This performance procedure is not intended to and does not displace the comprehensive evaluation required by Regent Policy 3.G.

3. Procedures

- a. ~~The board shall review the performance of the president on an annual basis.~~ The annual evaluation period will be July 1 through June 30.
- b. Goals of Performance Evaluation: The performance evaluation is intended to promote the following goals:
 - (1) To assess the president's performance in key areas.
 - (2) To increase the communication between the board and the president and to clarify the board's expectations of the president.
 - (3) To ensure that the board and the president have a common understanding of and commitment to addressing the priorities of the University of Colorado.
 - (4) To allow the board and the president to have a meaningful dialogue in setting the criteria against which the board will measure the president's performance.
 - (5) The board and the president will develop performance plan on an annual basis.
- c. Recurring Criteria: The performance plan shall include a number of criteria that the board shall evaluate on an annual basis. This recurring criteria are meant to reflect core competencies of the office of the president, including:
 - (1) Communication and relationship with the board;
 - (2) Fiscal management of the university;
 - (3) Supervision of key personnel, such as chancellors and vice-presidents;
 - (4) Governmental and community relations;
 - (5) Promotion of academic excellence and student success at the university;
 - (6) Promotion of ethical conduct at the university;
 - (7) Promotion of the reputation of the university;
 - (8) Promotion of advantageous relationship with university-affiliated entities;
 - (9) Fundraising.

Commented [LL14]: Redundant

FEEDBACK

- 688
689
690
691
692
693
694
695
696
697
698
699
700
701
702
703
704
705
706
707
708
709
710
711
712
713
714
715
716
717
718
719
720
721
722
723
724
725
726
727
728
729
730
731
732
733
734
735
736
737
738
739
740
741
742
743
- d. Non-recurring criteria: The performance plan shall also include a number of evaluation criteria, mutually agreed upon by the board and the president, that are designed to address the current needs and goals of the university. For example, the board and the president could identify "increasing enrollment for university campuses by 1%" or "development of a portal for online resources" as non-recurring evaluation criteria.
- e. The board shall determine whether the president's performance has been:
- 1 - Exceeding Expectations: Consistently superior achievement reflecting a positive contribution to the University of Colorado that significantly advances the mission of the organization.
 - 2 - Meeting Expectations: Consistent achievement demonstrating a high level of competency in the area being evaluated. Performance at this level demonstrates that the President of the University of Colorado reliably performs the duties described in the performance plan and advances the mission of the organization.
 - 3 - Below Expectations: Performance in the area being evaluated does not consistently meet the expectations described in the performance plan.
- f. Open Records Requirement. ~~The board shall also evaluate the president's performance, as a whole, as Exceeding Expectations, Meeting Expectations, or Below Expectations.~~ The board overall evaluation of the president shall be available for public inspection as a "performance rating" under the Colorado Open Records Act, C.R.S. 24-72-202(4.5), but all other information generated or prepared during the evaluative process shall be maintained as "personnel file" records not subject to inspection or disclosure.
- g. Annual Performance Calendar: For purposes of performance evaluation, the board shall use the following schedule as recommended target dates:
- July 1 – First day of evaluation period.
 - December 30 – Chair of board and president to meet to discuss year-to-date performance.
 - First board Meeting of Calendar Year/Mid-year Review – The board and the president will discuss year-to-date performance in executive session at the regularly scheduled board meeting.
 - May 1 – Chair of board and president meet to discuss performance evaluation and to discuss potential performance goal for next year's evaluation.
 - May 15 – President of university submits self-evaluation to board.
 - June 1 or most closely scheduled board meeting – The board shall meet in executive session to discuss performance evaluation and performance goals for next year's evaluation. Secretary of the board prepares draft of performance evaluation and draft of performance goals.
 - June 15 – president meets with chair of the board to review performance evaluation and draft of performance goals for next year's evaluation.
 - June 30 – President meets with board in executive session at a regularly scheduled board meeting to finalize performance evaluation and performance goals for next year's evaluation.
 - July 15 – Finalized performance evaluation and performance goals transmitted to president.

Commented [LL15]: Redundant

744
745
746
747

~~E.— Evaluation of non-presidential personnel with reporting roles to Board of Regents (university counsel and secretary of the Board of Regents; university treasurer; and associate vice president of internal audit):~~
3.F.4 Annual Evaluation for all other Officers of the University

FEEDBACK

Consistent with the Laws of the Regents and Regent Policy, the performance of university staff with reporting roles to the Board of Regents will be evaluated and rated annually. The performance evaluation will be based upon the position description and performance planning between the relevant board member and employee. The performance evaluation provides the basis for individual performance ratings and merit and other pay adjustments. The performance rating is the overall summary rating of the individual's performance and constitutes the public record of rating, in accordance with the Colorado Open Records Act.

DEFINITIONS

Performance Evaluation: Performance evaluation is a collaborative supervisor/employee process that begins with identification of job responsibilities found in a position description, the contract/letter of offer, and in the unit's workload policies. Performance evaluation includes mutual agreement on a performance plan, as well as feedback on defined goals and objectives. Performance evaluation concludes with an assessment of performance. During a performance evaluation, documents and comments from a variety of individuals that relate to an individual's performance may be collected and reviewed.

Performance Rating: A performance rating derived from the evaluation process is a five to one (5-1) point summary rating defined as follows:

5—**Outstanding.** Far exceeds performance expectations on a consistent and uniform basis. Work is of exceptional quality in all essential areas of responsibility. In addition, makes an exceptional or unique contribution in achievement of unit, department, and University objectives.

4—**Exceeding Expectations.** Always achieves performance expectations and frequently exceeds them. Demonstrates performance of a very high level of quality in all areas of responsibility.

3—**Meeting Expectations.** Consistently fulfills performance expectations and periodically may exceed them. Work is of high quality in all significant areas of responsibility.

2—**Below Expectations.** Fails to meet expectations in one or two of the significant/ essential position requirements and improvement is needed in these areas.

1—**Fails to Meet Expectations.** Fails to meet expectations in more than two of the significant/ essential position requirements and improvement is needed in most aspects of position.

STATEMENT OF POLICY

University staff ~~All other officers of the University~~ with reporting roles to the Board of Regents will be evaluated and receive a performance rating on an annual basis. Individual performance evaluations and ratings provide the basis for annual merit and other pay adjustments. The process for such evaluations shall be as follows:

- a. The performance evaluation of the individual shall begin with the individual's self-assessment of performance. This self-assessment will be based on defined goals and objectives previously established and agreed by the relevant board member and the individual. This relevant board member for each position is as follows.
 - i. The chair of the Board of Regents for the university counsel
 - ~~ii. The chair of the Board of Regents and for~~ secretary of the Board of Regents
 - ii.iii. The chair of the Regent Audit Committee for the associate vice president of internal audit
 - iii.iv. The chair of the Regent Budget and Finance ~~C~~committee for the university treasurer
- b. The completed self-assessment will be provided to both the relevant board member and to the appropriate officer as follows: as well as the appropriate University of Colorado officer assigned to the individual.
 - i. The president, in consultation with the chancellors, shall review the self-assessment and provide comments to the university counsel and secretary of the Board of Regents.

FEEDBACK

807
808
809
810
811
812
813
814
815
816
817
818
819
820
821
822
823
824
825
826
827
828
829
830
831
832
833
834
835
836
837
838
839
840
841
842
843
844
845
846
847
848
849
850
851
852
853
854
855
856
857
858
859
860
861
862
863
864
865
866

- ii. The vice president, university counsel and secretary of the Board of Regents, in consultation with the president and the chancellors, shall review and provide comments to the associate vice president of internal audit.
 - iii. The vice president and chief financial officer, in consultation with the vice chancellors and campus chief financial officers, shall review and provide comments to the university treasurer.
- c. The University of Colorado officer reviewing the self-assessment shall meet with the individual to discuss the assessment and the related feedback.
- d. The appropriate University of Colorado officer shall prepare a confidential memorandum that discusses the self-assessment, the meeting and the feedback received on the individual's performance during the evaluation period, and will make a preliminary recommendation of the performance rating to be assigned to the individual, discusses potential goals for the upcoming evaluation period, and, if appropriate, recommends any merit or other pay adjustments.
- i. The president shall transmit the memorandum related to the university counsel and secretary of the Board of Regents to the chair of the Board of Regents.
 - ii. The vice president, university counsel and secretary of the Board of Regents shall transmit the memorandum related to the associate vice president of internal audit to the chair of the Regent Audit Committee.
 - iii. The vice president and chief financial officer shall transmit the memorandum related to the university treasurer to the chair of the Regent Budget and Finance Committee.
- e. The regent who receives the memorandum shall meet with the individual to discuss the assessment. ~~It is the sense of the board that t~~he assigned regent shall consult with the relevant committee members and, if appropriate, the entire board, before assigning a performance rating ~~to be assigned~~ to the individual, defining goals for the upcoming evaluation period, ~~and, if appropriate, or~~ recommending any merit or other pay adjustments.
- f. The assigned regent shall transmit the performance rating and any recommended merit or other pay adjustments to the Board of Regents for approval.
- g. Upon approval by the Board of Regents, the chair of the Board of Regents shall document the performance rating on the University Staff Annual Performance Rating Form.
- ~~iv-i.~~ iv-i. The individual has the right to append a response to the rating if he or she so desires.
 - ~~v-ii.~~ v-ii. The chair of the Board of Regents and the individual will sign the performance rating form to acknowledge that the rating has been discussed.
 - ~~vi-iii.~~ vi-iii. ~~The supervising authority~~ The Board of Regents will retain the original signed rating form and provide the rated employee a copy of the signed form.
- h. The performance rating form will be placed in the employee's personnel file. The performance rating is subject to disclosure under the Colorado Open Records Act. Any written justification for the performance rating may also be placed in the personnel file but will not be disclosed to anyone other than the employee and university personnel with a demonstrated business need. Human resources offices are responsible for approving such access.
- ~~i.~~ i. ~~Performance ratings for annual merit or salary adjustment consideration shall be submitted to the applicable human resources office in accordance with individual campus defined submittal dates.~~
- j-i. The performance rating is only one item of information that may be used, consistent with the *Laws of the Regents* and university policy, in the annual salary setting process or in comprehensive administrative evaluations.

Commented [LL16]: This section is for Officers of the University and those positions are not located on campuses.

867 REGENT LAW: Article 9: Degrees, Designations and Regent Awards

868
869 **PART B: DESIGNATIONS**

870
871 **9.B.1 Distinguished Professor**

- 872
873 ~~(A) By specific action of the Board of Regents the designation of "distinguished professor" is bestowed on university~~
874 ~~faculty members who have distinguished themselves as exemplary teachers, scholars, and public servants, and~~
875 ~~who have extraordinary international importance and recognition.~~
876 ~~(B) Further, such designations shall be awarded only on the recommendation of the appropriate campus chancellor~~
877 ~~and the president of the university following departmental nomination and justification; review by the office of the~~
878 ~~concerned dean(s); screening by a committee of senior faculty peers who will advise the chancellor about the~~
879 ~~merit of each proposal; and screening by a university-wide faculty committee who will advise the president.~~

880
881 **9.B.2 Professor or Officer Emeritus/Emerita**

- 882 ~~(A) Any faculty member may be allowed, upon retirement and in accordance with the campus-defined process and~~
883 ~~approval by the chancellor, to retain his or her title with the description "emeritus/emerita."~~

884
885 3.G Officer Emeritus/ Emerita

886 3.G.1 Officers of the University

887 Any officer ~~except those~~ reporting directly to ~~the president or~~ the Board of Regents may be allowed, upon
888 retirement and approval by the Board of Regents~~president~~, to retain his/her title with the description
889 "emeritus/emerita."

890
891 3.G.2 Officers of the Administration

892 Any officer ~~except those~~ reporting directly to ~~the president or~~ the Board of Regents, may be allowed, upon
893 retirement and approval by the president~~Board of Regents~~, to retain his/her title with the description
894 "emeritus/emerita."
895

Commented [LL17]: Moved to other Regent Laws and Policies