



# University of Colorado

Boulder | Colorado Springs | Denver | Anschutz Medical Campus

## BOARD OF REGENTS

### 1. UNIVERSITY OF COLORADO LEGAL ORIGINS, GUIDING PRINCIPLES, AND PRINCIPLES OF ETHICAL BEHAVIOR

#### **Policy 1.A: Preservation of Self-Governing Responsibilities**

The University of Colorado shall preserve the principle of self-governance. As such, the University of Colorado shall oppose efforts to abolish or limit the constitutional authority of the Board of Regents to govern or enact policy for the university.

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#### **History:**

- Adopted: January 13, 1968.
- Revised: April 5, 2018.
- Last reviewed: April 5, 2018.



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#### Policy 1.B: Guiding Principles

Article 1, Part C of the *Laws of the Regents* establishes the mission of the University of Colorado. Consistent with the legal obligations and responsibilities of the University of Colorado community, the university will:

1. Encourage and provide access to the university for all qualified students within the university's capacity.
2. Maintain a commitment to excellence.
3. Promote and uphold the principles of ethics, integrity, transparency, and accountability.
4. Be conscientious stewards of the university's human, physical, financial, information, and natural resources.
5. Ensure policies, programs, procedures and practices encourage, honor, and respect teaching, learning, and academic culture.
6. Ensure policies, programs, procedures and practices promote a continuing commitment to building a community of faculty, students, and staff in which diversity is a fundamental value. Such policies, programs and procedures will also serve to ensure the rich interchange of ideas in the pursuit of truth and learning, including diversity of political, geographic, cultural, intellectual, and philosophical perspectives.
7. Encourage and support innovation and entrepreneurship at all levels of the university including research and creative activities.
8. Strive to meet the needs of the State of Colorado, including health care, technology, work force training, and civic literacy.
9. Ensure that the university is an economic, social, and cultural catalyst.
10. Support and encourage collaboration amongst departments and campuses, and between the university and other educational institutions to improve our communities.
11. Provide an outstanding, respectful, and responsive living, learning, teaching, and working environment.
12. Focus on meaningful measurable results.

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**History:**

- Approved: February 11, 2010.
- Revised: June 24, 2010; April 5, 2018.
- Last reviewed: April 5, 2018.



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#### Policy 1.C: Principles of Ethical Behavior

##### INTRODUCTION

The Laws of the Regents Article 1, Part D makes members of the university community, including regents, officers, faculty, and staff, responsible for understanding and upholding the highest standards of legal and ethical conduct. The Principles of Ethical Behavior as outlined are not intended to be a comprehensive catalogue of all university rules and policies. Rather, these principles set forth the underlying expectations regarding the conduct and activities of the university community.

##### 1.C.1 Responsible Conduct

Members of the university community are expected to conduct themselves ethically, and in compliance with all applicable laws, regulations, and university policies. Members of the university community are expected to practice and model ethical and responsible behavior in all aspects of their work. Expected conduct includes conducting fair and principled business transactions; acting in good faith; being personally accountable for individual actions; conscientiously fulfilling obligations towards others; and communicating ethical standards of conduct through instruction and example.

##### 1.C.2 Respect for Others

The University of Colorado recognizes that people are the most important resource in accomplishing its mission in the areas of teaching, research, community service, and patient care. The University of Colorado values academic freedom, diversity, and respect for all persons. The university is committed to the principle of non-discrimination and does not tolerate harassment on any basis, including sex, race, ethnicity, religion, gender, sexual orientation, gender identity, gender expression, age, political affiliation, or political philosophy. Members of the university community are expected to treat colleagues, co-workers, and students with respect, professionalism, and dignity in all interactions and communications.

##### 1.C.3 Conflicts of Interest

As a state institution, it is imperative for both legal and ethical reasons that members of the university community do not improperly benefit from their positions of trust at the university. Members of the university community are expected to avoid actual and perceived conflicts of interest related to their work and position. Actual or potential conflicts must be appropriately disclosed in accordance with university conflict of interest and conflict of commitment policies, so that such conflicts may be reviewed, and as

appropriate, managed or eliminated. Members of the university community are responsible for identifying potential conflicts and seeking appropriate guidance.

Conflicts of interest may also arise in the context of gifts, travel, and entertainment. Members of the university community are expected to conduct themselves so as to ensure that their positions are not misused for private gain with respect to the acceptance of gifts and the undertaking of university-related travel or entertainment. Members of the university community may not solicit, accept, or agree to accept any benefit that is intended to influence the employee in the performance of his or her university duties.

#### **1.C.4 Research and Academic Integrity**

As members of a top research university, members of the university community have significant responsibility to ensure that research and academic work is conducted with the highest integrity, and in compliance with federal and state laws, and university policies. Academic freedom can flourish only in a community that values intellectual integrity. University of Colorado researchers and scholars are expected to protect people and humanely treat animals involved in research or teaching; and follow and demonstrate accountability for sponsors and regulatory body requirements. In addition, researchers and scholars are to ensure originality of work, accurately and fairly publish information, and fairly assign authorship credit on the basis of intellectual contributions.

#### **1.C.5 Stewardship of University Property**

The university is committed to responsible stewardship of university resources, and members of the university community are expected to ensure that university property, funds, and technology are used appropriately. These responsibilities include using university property, equipment, and resources only for legitimate university purposes; promoting efficient operations; following sound financial practices; and engaging in appropriate accounting and monitoring.

University property includes the university seal, name, and logo. The university regulates the use of its seal, name and related trademarks and logos in order to protect the university's reputation and to ensure that their use is related to the university's educational, research, community service, and patient care missions.

#### **1.C.6 Contributing to a Safe Workplace**

The University of Colorado is committed to protecting the health and safety of the university community and creating a safe working and learning environment. Safe workplace practices include participating in applicable training sessions, using appropriate personal safety equipment; and reporting accidents, injuries, and unsafe situations. Members of the university community are expected to conduct their activities in an environmentally responsible manner. This includes carefully handling chemical, radioactive and biological waste, and disposing of hazardous waste and other potentially harmful agents in an environmentally safe manner.

The illegal use and possession of controlled substances and the possession of firearms, explosives, and other weapons on university premises compromises the safety of the university community. The University of Colorado prohibits the unlawful manufacture,

distribution, possession, or use of controlled substances and the possession of weapons in or on any premises or property owned or controlled by the University of Colorado.

### **1.C.7 Privacy and Confidentiality**

Members of the university community are the creators and custodians of many types of information. Such information may relate to students, employees, alumni, donors, research sponsors, patients and others. Members of the university community are expected to comply with applicable legal, contractual, and policy obligations to maintain the confidentiality of such information, protect it from improper disclosure, and protect the privacy interests of individuals. To meet these responsibilities, members of the university community are expected to follow document preservation and retention guidelines, and maintain data security using electronic and physical safeguards.

### **1.C.8 Open and Effective Communication**

The University of Colorado is committed to open communication and an environment of transparency. Communicating openly with both internal and external constituents improves relationships and allows the university to operate more effectively. Members of the university community who have questions about a policy, decision, or activity are encouraged to discuss the issue with the individual(s) directly involved before discussing it with others. Supervisors are expected to respond in a timely manner to concerns and communicate with all individuals involved in the matter. The university is committed to providing the community with accurate information regarding the business and affairs of the university. For this reason, and in order to provide a coordinated, accurate, and timely response, all media and legislative inquiries should be directed to the Office of University Relations.

### **1.C.9 Reporting Suspected Misconduct**

The University of Colorado is committed to meeting federal and state legal requirements and fostering a culture of compliance. Members of the university community are expected to report known and suspected violations of university policies, as well as violations of applicable laws and regulations to appropriate offices. The university provides several options for reporting violations. Unless reporting is required to an appropriate office, members of the university community are encouraged to first report any known or suspected violations to their direct supervisor. Fraud, theft, embezzlement, abuse, or waste may be reported to the University Department of Internal Audit. The University's Ethics Hotline allows individuals to anonymously report concerns involving a possible violation of law, regulation, or policy. All members of the university community who act in good faith in reporting known or suspected violations of law or university policy are protected from retaliation.

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#### **History:**

- Adopted: February 11, 2010.
- Revised: September 17, 2013; September 14, 2018.
- Last Reviewed: September 14, 2018.



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#### Policy 1.D: Freedom of Expression

- 1.D.1 As required by Regent Law, the University of Colorado shall protect the freedom of expression of its students, faculty, and staff on campus and in its programs and activities.
- 1.D.2 This policy addresses speech that occurs on University of Colorado campuses, but not speech occurring in the course of research or in the classroom instructional environment. Speech in research and teaching is governed by Regent Articles 5.D and 7.C.
- 1.D.3 Use of University Grounds, Buildings and Facilities:
  - (A) No campus shall designate any area as a free speech zone or otherwise limit free expression to a predetermined and designated area of campus. Generally accessible outdoor areas on the campuses shall be available to members of the university community for free expression in accordance with campus policies authorized by this section.
  - (B) The president of the university shall adopt, in accordance with university policy and applicable external law, regulations and procedures governing the use of university grounds, buildings, and facilities not located upon any university campus.
  - (C) The chancellor of each campus shall adopt, in accordance with university policy and applicable external law, regulations and procedures governing the use of university grounds, buildings and facilities on that campus.
    - (1) The use of university grounds, buildings, and facilities shall be limited to members of the university community, except as the use by others is specifically authorized under regulations adopted in accordance with university policy and applicable law.
    - (2) The use of university grounds, buildings, and facilities may be subject to requirements that govern the time, place, and manner of expression, including scheduling requirements, but all such requirements must be:
      - (a) Reasonable;
      - (b) Justified without reference to the content of the expression;

- (c) Narrowly tailored to protect the university environment, prevent disruption of university activities, or serve another significant university interest;
    - (d) Leave open ample alternate channels for communication of the information or message.
  - (3) The use of university grounds, buildings, and facilities by members of the university community may be conditioned upon the payment of reasonable expenses incurred by the campus in hosting an event. Any such fees shall be determined based upon the campus's good faith estimate, based upon the application of objective criteria, of the actual expenses it shall incur in hosting an event. In no instance shall a campus assess any such expenses in a manner that is based upon disapproval of the substantive message that the speaker expresses.
  - (4) Nothing in this section grants members of the university community the right to materially disrupt previously scheduled or reserved activities occurring on university grounds, buildings, and facilities.
- (D) Freedom of Expression by University of Colorado Faculty
- (1) When engaged in teaching and research, faculty enjoy the associated rights and observe the associated responsibilities of academic freedom as expressed in Article 5, Part D.
  - (2) University faculty are members of our communities and members of a learned profession. When university faculty speak or write as citizens, not in furtherance of their university duties or in the course and scope of their university employment, on matters of political, academic, artistic, or social concern, the university shall not censor their expression, initiate disciplinary action against them, or otherwise subject the faculty members to adverse employment actions because it disapproves of the substance of their expression.
  - (3) When university faculty speak or write in their personal capacities, not in furtherance of their university duties or in the course and scope of their university employment, they must make every effort to indicate that their expression is their own and does not represent the opinion or position of the university.
  - (4) The freedom of expression recognized in this section does not grant university faculty the right to refuse to perform official duties, to materially disrupt the university environment or university activities, or to disregard the standards of ethical conduct as expressed in Article 1, Part D of the Laws of the Regents or Regent Policy 1.C.



(E) Freedom of Expression by University of Colorado Staff

- (1) All staff of the university are members of our communities. When staff of the university speak or write in their personal capacities, not in furtherance of their university duties or in the course and scope of their university employment, on matters of political, academic, artistic, or social concern, the university shall not censor their expression, initiate disciplinary action against them, or otherwise subject the staff members to adverse employment actions because it disapproves of the substance of their expression.
- (2) When staff of the university speak or write as citizens, they must make every effort to indicate that their expression is their own and does not represent the opinion or position of the university.
- (3) The freedom of expression recognized in this section does not grant staff of the university the right to refuse to perform official duties, to materially disrupt the university environment or university activities, or to disregard the standards of ethical conduct as expressed in Article 1, Part D of the Laws of the Regents or Regent Policy 1.C.

(F) Freedom of Expression by University Students

- (1) When engaged in educational activities, university students enjoy the associated rights and observe the associated responsibilities of academic freedom as expressed in Article 7, Part C of the Laws of the Regents.
- (2) University students are members of our communities. When university students speak or write in their personal capacities on matters of political, academic, artistic, or social concern, not in furtherance of their studies or in the course of their academic duties, the university shall not censor their expression, initiate disciplinary action against them, or otherwise subject the students to adverse academic actions because it disapproves of the substance of their expression.
- (3) The freedom of expression recognized in this section does not grant university students the right to materially disrupt the university environment or university activities or to disregard the standards of conduct as promulgated under Article 7, Part C of the Laws of the Regents.

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**History:**

- Adopted: September 14, 2018.
- Revised: N/A
- Last Reviewed: September 14, 2018.