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BOARD OF REGENTS

5. FACULTY

Policy 5.A: Faculty Governance

5.A.1 Principle of Shared Governance

- (A) Colorado's Constitution vests the Regents of the University of Colorado with the governance and general supervision of the University of Colorado. In accordance with regent law (article 5, part A), and in recognition of the faculty's role in the academic functions of the university, the Board of Regents recognizes the principle of shared governance.
- (B) Tenured and tenure-track faculty with appropriate participation by instructional, research, and clinical faculty, have the principal responsibility for decisions concerning pedagogy, curriculum, research, scholarly or creative work, academic ethics, and recommendations on the selection and evaluation of faculty. The development of general academic policies shall be a collaborative effort between the faculty and administration.
 - (1) The faculty shall have the principal role in originating academic policy and standards related to: the initiation and direction of all courses, curricula, and degree offerings; admissions criteria, grading and standards for continuation; regulation of student academic conduct; and determination of candidates for honors and degrees.
 - (2) The faculty shall have the principal role in making recommendations for the selection of new faculty. Hiring decisions shall be in accordance with the authority delegated by the Board of Regents.
 - (3) Faculty members of the primary unit shall have principal responsibility for the conduct of annual faculty performance evaluations and post-tenure reviews based on procedures developed in collaboration with the administration, as stated in section 5.A.1(C)(1).
 - (4) Evaluation relating to the reappointment, tenure, and/or promotion of tenured and tenure-track faculty shall follow the procedures defined in regent policy 5.D.

In light of the differences in expectations of faculty at the Anschutz Medical Campus, particularly those with clinical responsibilities, the practice of shared governance may differ from the other campuses. The review and evaluation of faculty and how faculty and/or faculty governance groups participate in the preparation of unit budgets may differ from the other campuses and will be incorporated into bylaws, policies and procedures that will be approved at the

primary unit, school/college and campus levels using a shared governance process.

- (C) The faculty shall collaborate with the campus and system administration in making recommendations or decisions on faculty personnel policies, administrative leadership, and resource allocation.
- (1) The process for recommending policies and procedures for faculty appointment, reappointment, promotion, tenure and post-tenure review, and the appeal of decisions in these areas, shall be a collaborative effort between the faculty and administration.
 - (2) Faculty participation in the selection and evaluation of department chairs and school/college administrators below the level of dean shall be in accordance with department and school/college policies, which shall be developed through a shared governance process.
 - (3) Faculty participation in the selection of academic administrators at the level of dean or above shall be in accordance with regent policy 3.C. Faculty participation in the evaluation of academic administrators at the level of dean or above shall be in accordance with school/college and campus policy, which shall be developed through a shared governance process.
 - (4) In the preparation of campus and system budgets, the administration shall have the principal role, with early collaboration with the appropriate faculty governance group(s), subject to the ultimate authority of the Board of Regents or its designee(s).

In light of the differences in expectations of faculty at the Anschutz Medical Campus, particularly those with clinical responsibilities, the practice of shared governance may differ from the other campuses. The review and evaluation of faculty and how faculty and/or faculty governance groups participate in the preparation of unit budgets may differ from the other campuses and will be incorporated into bylaws, policies and procedures that will be approved at the primary unit, school/college and campus levels using a shared governance process.

- (D) The faculty shall collaborate with the administration in developing recommendations to the president or Board of Regents on system-level issues concerning the general academic welfare of the university.
- (E) Unless otherwise required by law, the development of new policies or policy changes with respect to matters that directly affect the faculty shall be adopted only after consultation with appropriate faculty governance bodies.

History:

- Adopted: September 14, 2018 (Moved from the old article 5.A and policy 5.A); Became effective July 1, 2020.
- Revised: N/A. *[Non-substantive change made on November 12, 2020, in Section 5.A.1(C)(3) to update reference to Regent Policy 3.E – which was revised and renumbered to Policy 3.C.]*
- Last Reviewed: September 14, 2018.



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Policy 5.B: Academic Freedom

For the purposes of discussing academic freedom, “the faculty” as referred to in regent policy 5.B.1 and 5.B.2, shall mean all those afforded academic freedom under regent law 5.B.

5.B.1 Associated Rights

- (A) All faculty members, within the scope of their faculty responsibilities, must have freedom to study, learn, and conduct scholarship and creative work within their discipline, and to communicate the results of these pursuits to others, bound only by the control and authority of the rational methods by which knowledge is established in the field. The best method for advancing the state of knowledge is engaging with the broadest range of theories, methodologies, data, and conflicting opinions.
- (B) Faculty members shall not be subjected to direct or indirect pressures in an attempt to influence their work in a manner that would conflict with professional standards of the field. The Board of Regents and administration shall not impose such pressures or influence and shall resist such pressures or interference when exerted from inside or outside the university.
- (C) Faculty personnel actions such as reappointment, promotion, and tenure, shall not consider any factors related to a faculty member exercising their freedom of expression under regent law 1.D and regent policy 1.C.
- (D) Subject to the responsibilities identified in section 5.B.2(C), faculty are afforded freedom in achieving the goals of their assigned courses.

5.B.2 Associated Responsibilities

- (A) Faculty members have the responsibility to maintain professional competence; to devote themselves to developing and improving their teaching, scholarship, research, creative work, clinical activities, writing, and speaking; and to act with integrity, in accordance with the highest standards of their profession.
- (B) While academic freedom affords faculty members wide latitude in defining their scholarly activities, their teaching, scholarship, and creative work shall be assessed by reference to the criteria of the faculty member’s primary unit(s).

- (C) Faculty members are responsible for requirements (e.g., course content, topic order, course schedule, assessment mechanisms) specified by responsible faculty bodies, such as curriculum committees.
 - (D) Faculty members should be able to justify, in terms of curriculum and student learning, all materials introduced into the classroom.
 - (E) All members of the university community shall comply with the standards of ethical conduct stated in regent law 8, part A and regent policy 8.A.
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History:

- Adopted: September 14, 2018 (Moved from the old article 7.C and 5.D); Became effective July 1, 2020.
- Revised: April 10, 2025.
- Last Reviewed: April 10, 2025.
- Non-substantive Changes: July 30, 2025 (Conforming amendments made for renumbering of regent laws and policies: Reference to article 1.E changed to article 1.D, reference to regent policy 1.D changed to regent policy 1.C, and reference to article 8.B changed to article 8.A).



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Policy 5.C: Faculty Appointments

5.C.1 Terms and Conditions

- (A) The terms and conditions of every faculty appointment shall be stated in writing and be in the possession of both the university and the appointee, whenever possible, before the appointment start date.
- (B) Faculty titles and a description of responsibilities associated with each title are provided in an administrative policy statement.

5.C.2 Tenured and Tenure-Track Faculty Appointments

- (A) Tenured and tenure-track faculty typically engage in teaching, scholarly/creative work, and leadership or service, and where relevant, other activities relative to their specific units (e.g., clinical activity, librarianship).
- (B) Once tenured, a faculty member holds a continuous appointment until retirement or resignation unless tenure is revoked under provisions of regent law or policy.
- (C) Only the Board of Regents may award tenure and only the Board of Regents may revoke tenure.
- (D) Tenure resides with the university. The move of a faculty member to a new primary unit on any campus is subject to the approval of the faculty in the receiving primary unit, but does not require reconsideration of tenure by the Board of Regents. No faculty transfer can be mandated if it would result in the loss of tenure. Procedures for transferring a tenured appointment are provided in the corresponding administrative policy statement.
- (E) The process leading to the award of tenure is an evaluation of a faculty member's cumulative performance and is a process that is separate and distinct from the annual performance evaluation.
- (F) As further detailed in regent policy 5.D, a recommendation on tenure shall be made after a defined probationary period and tenure-track faculty shall be evaluated in a comprehensive manner at least once during the probationary period. As noted in section 5.D.1(C) of regent policy 5.D, exceptions to this requirement have been approved for the Schools of Medicine, Pharmacy, and Public Health.
- (G) Administrative appointments do not carry the possibility of tenure, but an administrator may hold an additional appointment as a tenured faculty member.

- (H) After award of tenure, a comprehensive performance evaluation that emphasizes performance-based measurements shall be completed every five years. The purposes of the post-tenure review process are to facilitate continued faculty development, and to ensure professional accountability to the university community, the Board of Regents, and the public.
- (I) A sabbatical assignment, which is subject to approval by the Board of Regents, is an important academic scholarship and professional development tool, granted for the advancement of the university, subject to the availability of resources. A tenured faculty member shall become eligible for a sabbatical assignment after six years of service to the university. A sabbatical assignment shall not be granted more than once every seven years. Further information is provided in the corresponding administrative policy statement.
 - (1) In the case of the Anschutz Medical Campus, subject to specific school/college rules, tenure-track faculty and specialty-track members who have attained the ranks of associate professor or full professor are also eligible for sabbatical assignment after six years of service to the university.
- (J) The title of distinguished professor is extended by the Board of Regents to recognize the outstanding contributions of tenured CU faculty members to their academic disciplines. The faculty awarded this title must demonstrate accomplishments in accordance with the following criteria: (1) excellence in the promotion of learning and student attainment of knowledge and skills; (2) distinguished performance in scholarly/creative work; and (3) outstanding leadership and service to the profession and to CU and/or affiliate institutions. Further information can be found in the corresponding administrative policy statement.

5.C.3 Instructional, Research, and Clinical Faculty Appointments

- (A) As provided in article 5.C.3(C) of regent law, the chancellor of each campus has the responsibility to maintain the appropriate policies for the appointment, reappointment, promotion, and termination, of instructional, research, or clinical faculty. Such policies shall be developed in collaboration with the appropriate faculty governance bodies.
 - (1) Appointments are not eligible for tenure.
 - (2) The terms for promotion, reappointment, and termination of instructional, research, and clinical appointments shall be established in a letter of offer or employment agreement. They shall align with the framework established in the corresponding administrative policy statement.
 - (3) Annual performance evaluations shall be conducted consistent with regent policy 5.C.4(B).
- (B) A faculty member's workload is negotiated with the hiring unit and shall be delineated in a letter of offer or employment agreement.
 - (1) To accommodate professional development, an instructional, research, or clinical faculty member may negotiate a differential workload. This is meant

to recognize the contributions of long-serving faculty and allow them to enhance their professional knowledge, competence, and effectiveness. Such professional development opportunities are subject to the availability of funds. Eligibility criteria and application and approval processes are addressed in the corresponding administrative policy statement.

- (C) Campuses are encouraged to provide multi-year contracts to high performing faculty as permitted by state law (C.R.S. 24-19-104(1.5)(d)) and available financial resources. Additional information on eligibility for multi-year contracts is provided in the corresponding administrative policy statement.

5.C.4 Other Terms and Conditions of Faculty Appointments

- (A) Faculty may hold more than one faculty appointment (e.g., museum faculty) beyond the primary appointment.
- (B) Annual performance evaluations for all faculty members shall be conducted by each campus, using a peer evaluation process. Consistent with the faculty member's duties, their contribution to teaching, scholarly/creative work, leadership and service, and, where applicable, other activities specific to their unit (e.g., clinical activity, librarianship), shall be evaluated based on written performance standards developed by the faculty of the academic unit (primary unit annual evaluation criteria) and any additional written expectations agreed to by the faculty member and the unit. Teaching evaluations shall use multiple measures, including normed student feedback (e.g. Faculty Course Questionnaires), as further explained in the corresponding administrative policy statement. In annual merit evaluations, the assigned workload of a faculty member shall be considered.
 - (1) At the Anschutz Medical Campus, annual faculty evaluation processes may vary from those described in section 5.C.4(B). A peer evaluation process shall be used where appropriate and normed student feedback shall be considered in the evaluation process whenever possible.
- (C) Tenured and tenure-track faculty workloads may be negotiated consistent with the university's commitment to teaching, scholarly/creative work, leadership and service, and where applicable, other activities specific to a unit (e.g., clinical activity, librarianship) based on individual faculty needs (e.g., career development, tenure and promotion); conventions in particular academic disciplines; academic unit program needs; and the goals and objectives of the school/college and campus.
 - (1) Faculty governance leadership and service shall be considered in the annual merit evaluation as in other evaluation processes. Differential workloads may also be negotiated when faculty governance roles exceed the time normally expected for leadership and service. Appropriate compensation within the limits of system administration and campus policies shall be negotiated for the leadership and service of faculty governance officers and committee chairs.
- (D) The Board of Regents recognizes that full-time tenured and tenure-track faculty members are expected to dedicate their professional time and effort to the university. However, outside consultation, research, clinical, and other work can

serve to keep faculty in contact with real problems in their profession and expand their expertise and thus, to the extent authorized by regent laws and policies, are desirable and legitimate functions.

Subject to university policy on conflicts of interest and commitment, and with the approval of the dean or dean's designee, outside consultation, research, clinical, and other work is allowed provided that it does not interfere with the faculty member's performance of assigned university responsibilities and does not involve more than one-sixth of their time (commonly referred to as the "one-sixth rule"). This holds for faculty with both 9-month and 12-month appointments. Faculty members involved in outside work are permitted to receive outside remuneration for this work and shall not suffer a reduction in their regular university salaries. Outside work by faculty members in schools or colleges that have alternative compensation plans approved by the Board of Regents or other contractual requirements limiting their ability to perform services for compensation shall be governed by those plans or contracts.

Normally, university facilities, equipment, and resources shall not be used for faculty members' outside work. However, faculty members may make contractual arrangements to rent university facilities at fair-market rates using campus approved procedures. Faculty members shall not use university resources to advertise their availability for private consultation.

History:

- Adopted: September 14, 2018 (Moved from the old policy 5.E); Became effective July 1, 2020.
- Revised: N/A.
- Last Reviewed: September 14, 2018.



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Policy 5.D: Reappointment, Tenure, and Promotion of Tenure-Track and Tenured Faculty

5.D.1 Tenure Probationary Period

- (A) A recommendation on tenure shall be made after a probationary period of continuous full-time service as a professor, associate professor, or assistant professor. (See exceptions in section 5.D.1(E)). The probationary period shall not exceed seven years unless the faculty member is granted an automatic or approved extension of the tenure clock.
 - (1) Any change to the probationary period because of leave will be in increments of one year.
 - (2) If a one-year extension of the tenure clock is provided, a one-year delay applies to the start of personnel actions related to the tenure clock, such as comprehensive review or tenure review, scheduled to occur after the leave period.
 - (3) If an individual's professional accomplishments warrant, the probationary period may be waived and tenure may be recommended upon hire.
 - (4) Full-time service in the rank of assistant professor, associate professor, or professor at other institutions may reduce the probationary period. Years of credit must be negotiated before the comprehensive review and preferably at the time of the appointment.
- (B) A faculty member may apply for leave during their tenure probationary period.
 - (1) Parental Leave and the Tenure Probationary Period
 - (a) If a faculty member utilizes parental leave during the tenure probationary period, the faculty member shall be granted a one-year extension of the tenure clock. A faculty member may irrevocably elect, no later than six months following their return to full-time service, to have the leave time count as part of the tenure probationary period. Such an election shall be made in writing and is subject to approval by the dean of the school or college and the chancellor or designee. See corresponding APS 5062 - Leave, section 11 (Parental Leave) and campus policy for additional details on parental leave benefits for faculty.

(2) Other FMLA/FAMLI Leave that is not Parental Leave and the Tenure Probationary Period

- (a) If a faculty member qualifies for leave under FMLA/FAMLI during the tenure probationary period for reasons other than parental leave, and the leave period is for one semester to one year, they will automatically receive a one-year tenure clock extension. If, however, the leave period is for less than a semester, and the faculty member believes that the leave period will harm their chances for a successful tenure review, the faculty member may request a tenure clock extension.

If the dean of the school or college determines the leave is such that the faculty member's performance cannot be appropriately evaluated during the existing probationary period, the faculty member shall be granted a one-year extension of the tenure clock. The dean's decision may be appealed to the chancellor or their designee. A faculty member may irrevocably elect, no later than six months following their return to full-time service, to have the leave time count as part of the tenure probationary period. Such an election shall be made in writing and is subject to approval by the dean of the school or college and chancellor or designee.

(3) Negotiated Alternative Leave and the Tenure Probationary Period

- (a) If a faculty member applies for leave for other reasons not covered in 5.D.1(B)(1) or (2), the request shall be reviewed by the chair and dean of the school or college, and the dean will issue a recommendation to the provost. The request is subject to provost approval. If the leave is approved and the leave period is for one semester to one year, they will automatically receive a one-year tenure clock extension. If, however, the leave period is for less than a semester, and the faculty member believes that the leave period will harm their chances for a successful tenure review, the faculty member may request a tenure clock extension. If the dean of the school or college determines the leave is such that the faculty member's performance cannot be appropriately evaluated during the existing probationary period, the faculty member shall be granted a one-year extension of the tenure clock. The dean's decision may be appealed to the chancellor or their designee. A faculty member may irrevocably elect, no later than six months following their return to full-time service, to have the leave time count as part of the tenure probationary period. Such an election shall be made in writing and is subject to approval by the dean of the school or college and chancellor or designee.

- (C) In extraordinary circumstances, the president may empower the chancellors to approve tenure clock extensions that are independent of leave. Any such empowerments shall be reported to the Board of Regents.
- (D) Each tenure-track faculty member shall be evaluated in a comprehensive manner at least once during the tenure probationary period apart from the review for award of tenure. The comprehensive review typically occurs during the fourth year of full-time service. The comprehensive review results in one of two outcomes:

- (1) the faculty member is reappointed to a tenure-track position, or
- (2) the faculty member is not reappointed to a tenure-track position, and they will be given a one-year terminal appointment at their existing rank and salary.

The faculty member shall be informed in writing of the results of the comprehensive review.

- (E) In the Schools of Medicine, Pharmacy and Public Health, promotion and tenure are separate processes but may occur concurrently.
 - (1) Unless waived by the faculty member and approved by the dean of the school or college and chancellor, a decision regarding promotion to associate professor shall be made after a maximum probationary period of seven years of continuous full-time service at the rank of assistant professor. Normally, the promotion review of a faculty member will commence at the beginning of the seventh year of service.
 - (2) Schools of Medicine, Pharmacy and Public Health tenure-track faculty members in the rank of associate professor or professor are eligible for consideration for tenure. There will be no maximum time limit for the award of tenure; however, the faculty member who is turned down for tenure may not be reconsidered for three years.

5.D.2 Standards for Tenure

- (A) Tenure may be awarded only to faculty members with demonstrated meritorious performance in each of the three areas of: teaching (or librarianship), scholarly/creative work, and leadership and service (to the university, profession and/or public); and demonstrated excellence in either teaching, or scholarly/creative work.

Additionally:

- (1) In the School of Medicine, tenure may be awarded only to faculty members with national and international reputations for academic excellence who are among the best in their field of academic endeavor and who have demonstrated excellence in scholarship and demonstrated excellence in, and dedication to, teaching (as further defined in the rules of the School of Medicine).

Professional/administrative leadership and service and/or clinical activities should be weighed into any decision regarding tenure, but such activities in the absence of significant accomplishments in both teaching and scholarship are not an adequate basis for tenure.

- (2) In its tenure recommendations, the Colorado School of Public Health may consider public health practice/clinical activity and scholarship, as further defined in its bylaws.

- (3) In the School of Pharmacy, tenure may be awarded only to faculty members who have demonstrated excellence in scholarship and demonstrated excellence in, and dedication to, teaching (as further defined in the appointment, reappointment, promotion, and tenure policy of the School of Pharmacy).
 - (4) Candidates at the University of Colorado Colorado Springs may also be evaluated on professional practice, in which case they shall also demonstrate meritorious performance in that area.
 - (5) Recognizing the importance to the University of Colorado of the commercial and community-based innovation and entrepreneurial activities of the faculty, primary units are encouraged to include in their primary unit criteria impactful innovative and entrepreneurial activities and to award credit for these activities within the usual evaluative areas.
- (B) A recommendation of tenure based on excellence in scholarly/creative work shall include evidence of impact beyond the institution. A recommendation for tenure based on excellence in teaching shall include multiple measures of teaching evaluation and demonstrated achievement at the campus, local, national, and/or international level which furthers the practice and/or scholarship of teaching and learning beyond one's immediate instructional setting.
- (1) For the School of Medicine and the School of Pharmacy, which require excellence in both teaching and scholarship, at least one area, as specified in the primary unit criteria, must show evidence of impact beyond the institution.
- (C) Effort or promise of performance shall not be a criterion for excellence or meritorious performance. Demonstrated performance and outcomes are required for tenure.

5.D.3 Primary Unit Criteria for Reappointment, Tenure, and Promotion

- (A) Primary units develop criteria that define the teaching, scholarly/creative work, and leadership and service expectations for faculty, such as expectations for publications, grants for scholarly/creative work, measures of clinical excellence, etc., in terms of their scholarly field(s). These primary unit criteria are reviewed for rigor, fairness, and consistency with regent requirements and are not effective until approved by the dean and provost. In those cases where the primary unit has requested and received Board of Regents' approval of specific alternative or additional criteria (see section 5.D.2(A)), those criteria shall be applied in appointment, reappointment, tenure, and promotion decisions.
- (1) If new or revised primary unit criteria have been adopted during a faculty member's tenure probationary period, the faculty member may choose to be evaluated for tenure based on the new criteria or the criteria in place at the time of appointment. When a faculty member is evaluated for promotion to full professor, the current primary unit criteria shall apply. See corresponding APS 1022 – Standards, Processes and Procedures for Reappointment, Tenure, Promotion, and Post-Tenure Review.
- (a) Faculty members on the Anschutz Medical Campus who are evaluated for promotion to associate professor without a coincident evaluation of

tenure may choose to be evaluated for promotion based on the primary unit criteria at the time of appointment or the current primary unit criteria (if revisions have been adopted since the date of appointment).

- (B) At the time of comprehensive review, institutional factors may be considered in the reappointment decision.
- (C) At the point of the tenure decision, the only consideration is the merit of the candidate. Merit is judged according to primary unit criteria.
- (D) To be promoted to the rank of Professor (also referred to as “Full Professor”), an individual should have the terminal degree appropriate to their field or its equivalent, and:
 - (1) A complete record of accomplishments as a scholar or artist that, taken as a whole, may be judged to be excellent; and
 - (2) A record of significant contribution to graduate and undergraduate education, unless individual or departmental circumstances can be shown to require a stronger emphasis, or singular focus, on one or the other; and
 - (3) A record since receiving tenure or promotion to Associate Professor that indicates substantial, significant, and continued growth, development and accomplishment in teaching or librarianship, scholarly/creative work, and leadership and service.

5.D.4 Mentoring

- (A) While the candidate is responsible for developing a professional record that warrants tenure, the department/unit and administration have certain obligations to mentor tenure-track faculty and to help them navigate the processes of review (reappointment, tenure, and promotion). Mentoring opportunities will be provided by primary units and/or colleges/schools.

5.D.5 Review Process

- (A) The case for reappointment, tenure, and promotion of a tenure-track faculty member and promotion of a tenured faculty member is evaluated at multiple levels. The expertise of the primary unit is balanced by the broader perspective introduced at other levels of review. At each stage of the review process, the candidate should be informed of the outcome as expeditiously as possible. Detailed review procedures are provided in APS 1022.
 - (1) The primary unit criteria shall be used at every level of the review process and the criteria shall be included in the candidate’s dossier.
 - (2) A decision on reappointment or promotion shall be issued by the chancellor. The chancellor’s decision is final, unless a denial of promotion coincides with a denial of tenure, in which case both decisions can be appealed in accordance with section 5.D.6.
 - (3) A decision to recommend or deny tenure shall be issued by the chancellor.

The chancellor's decision on tenure is final if the decision is negative. (See section 5.D.6 for information on the appeals process.) The chancellor shall forward positive tenure decisions to the president for review.

- (a) If the president concurs with a recommendation to award tenure, a positive recommendation is issued to the Board of Regents.
- (b) If the president does not concur, the president's decision not to award tenure is final. (See section 5.D.7 for grievance rights.)

5.D.6 Appeal of Decisions Regarding Tenure

- (A) Within 10 business days of receipt of notification, a candidate denied tenure by the chancellor may request a review by the president. The only grounds for a presidential review are: (1) procedural errors of sufficient magnitude that they may have affected the outcome; (2) factual errors of sufficient magnitude that they may have affected the outcome; or (3) the material violation of the laws of the regents or regent policy; or some combination of these grounds.
 - (1) The president may determine there are no grounds for appeal and uphold the decision to deny tenure. In this circumstance, the case is closed.
 - (2) If the president determines there are grounds for an appeal:
 - (a) The president may remand the case to the campus to rectify errors and require the chancellor to then revise or reaffirm the original recommendation.
 - (b) The president may overrule the campus decision and recommend tenure to the Board of Regents.
 - (c) The president may convene a faculty advisory committee to review the case and issue a recommendation. Ultimately, the president will either make the final decision to deny tenure or will recommend tenure to the Board of Regents.

5.D.7 Grievance Rights

- (A) If a candidate is denied reappointment, promotion, or tenure and believes that there have been serious procedural or factual errors in the case, or the denial occurred through the material violation of the laws of the regents or regent policy, the candidate may submit a grievance to the Faculty Senate Grievance Committee in accordance with regent policy 5.G. A grievance may not be filed until all available administrative appeals have been exhausted.

History:

- Adopted: September 14, 2018 (Moved from the old article 5.B, 5.C and policy 5.M); Became effective July 1, 2020.
- Revised: April 10, 2025.
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Policy 5.E: Tenured and Tenure-Track Faculty Dismissal for Cause

5.E.1 General Provisions

- (A) In accordance with regent law (article 5, part C), a faculty member with a tenured or tenure-track appointment may be terminated at any time during the appointment for one of the following reasons:
 - (1) Demonstrable professional incompetence; conviction, whether by a plea or a verdict of guilty or following a plea of nolo contendere, for any felony or any offense involving moral turpitude; violation of university policies pertaining to discrimination, sexual misconduct, or fiscal misconduct; violation of the weapons control policy; material or repeated neglect of duty; or other conduct that falls below minimum standards of professional integrity.
- (B) No faculty member with a tenured or tenure-track appointment shall be dismissed for cause without the opportunity to be heard according to the provisions of this policy. The provisions of this policy only apply to tenured and tenure-track faculty.
- (C) Termination of a tenured appointment under the provisions of this policy is contingent upon the subsequent revocation of tenure by the Board of Regents.
- (D) A tenured or tenure-track faculty member who has been dismissed for cause, or who has been notified that dismissal for cause proceedings will be initiated, has the right to file a grievance with the Faculty Senate Grievance Committee, according to the procedures specified in regent policy 5.G.

5.E.2 Dismissal for Cause Procedures

- (A) A recommendation to dismiss a faculty member for cause shall be issued by the dean and the provost to the chancellor.
- (B) The chancellor shall take action on the recommendation of the dean and the provost to dismiss the faculty member.
 - (1) If the chancellor disagrees with the recommendation of the dean and provost to dismiss, the decision is final.
 - (2) If the chancellor concurs with the recommendation to dismiss, the faculty member shall be given written notice of the decision. The written notice shall state the specific reasons the action is being taken and shall inform the faculty member of the right to file a grievance within 10 business days.

- (a) If the faculty member elects to file a grievance, the filing and investigation shall follow the processes and timelines specified in regent policy 5.G.
 - (b) If the faculty member does not file a grievance within 10 business days, the chancellor will notify the president of the decision to dismiss the faculty member and will forward the case and associated materials to the president for review.
- (3) If the faculty member filed a grievance with the Faculty Senate grievance committee, the chancellor shall review the findings, conclusions, and recommendations of that committee. The chancellor shall give substantial weight to the committee's recommendation and include a rationale for any decision that is inconsistent with the recommendation. Within 10 business days of receipt of the final report from the committee, the chancellor's final decision shall be provided in writing to the faculty member, committee chair, and panel chair.
 - (a) If the chancellor maintains the original decision to dismiss, the chancellor will notify the president of the decision to dismiss the faculty member and will forward the case and associated materials to the president for review.
- (4) If the case involves a tenured faculty member, action to dismiss shall be contingent upon the revocation of tenure by the Board of Regents, pursuant to section 5.E.3.
- (C) When dismissal is approved by the chancellor, the faculty member shall have the right to appeal to the president.
 - (1) An appeal must be filed with the Office of the President within 20 business days of being notified of the chancellor's decision to dismiss.
- (D) If the faculty member appeals the chancellor's decision to dismiss, the president shall review the merits of the case.
 - (1) The faculty member shall be provided an opportunity to present their case to the president.
 - (2) The chancellor shall have an opportunity to respond to the faculty member's presentation.
 - (3) If the case has been reviewed by the Faculty Senate grievance committee, the panel chair or designee shall be the spokesperson for the committee before the president. The president shall consider and give substantial weight to any recommendation from the Faculty Senate grievance committee.
 - (4) The president shall have an opportunity to ask questions but, ordinarily, the president will not hear new evidence.
 - (5) The president may decide to adopt the chancellor's recommendation to dismiss for cause or may end the action against the faculty member.

- (a) If the president disagrees with the recommendation to dismiss, the decision is final.
 - (b) If the president concurs with the chancellor's recommendation and approves dismissal, and the case involves a tenured faculty member, the action to dismiss shall be contingent upon the revocation of tenure by the Board of Regents. See section 5.E.3.
 - (c) If the president concurs with the chancellor's recommendation and approves dismissal, and the case involves a tenure-track faculty member, the president's decision is final and the case shall be closed.
- (6) If the case has been reviewed by the Faculty Senate grievance committee, within 10 business days of the president's final decision, the decision shall be provided in writing to the faculty member, chancellor, committee chair, and panel chair. If the president and panel do not concur, the president's recommendation to the Board of Regents shall include the reasons for the president's disagreement with the panel.

5.E.3 Tenure Revocation

- (A) If a dismissal for cause case involves a faculty member with tenure, the revocation of tenure, based on the case for dismissal for cause, is subject to approval by the Board of Regents upon recommendation by the president.
- (1) If the president recommends tenure revocation, the faculty member shall be notified concurrently with the transmittal of the recommendation to the Board of Regents.
 - (2) All supporting documentation shall be forwarded to the Board of Regents. The president's recommendation shall include the rationale for tenure revocation.
- (B) Action by the Board of Regents
- (1) The chair of the Board of Regents shall notify the faculty member when the board receives a presidential recommendation for tenure revocation. If the case has been reviewed by the Faculty Senate grievance committee, the chair of the Board of Regents shall also notify the panel chair of the president's recommendation for tenure revocation.
 - (2) Within 20 business days of receiving notice from the chair of the Board of Regents, the faculty member shall be given an opportunity to respond in writing to the president's recommendation to revoke tenure. In that response, the faculty member shall indicate if they request a hearing before the board. If the faculty member requests a hearing before the board, the hearing shall be held in executive session.
 - (a) The faculty member shall be provided an opportunity to present their case to the Board of Regents during the hearing.

- (b) The administration shall have an opportunity, as directed by the board, to respond to the faculty member's presentation.
 - (c) If the case has been reviewed by the Faculty Senate grievance committee, the panel chair or designee shall be the spokesperson for the committee before the Board of Regents.
 - (d) The members of the board shall have an opportunity to ask questions of the faculty member, the administration, and the panel chair but, ordinarily, the board will not hear new evidence.
- (3) Upon conclusion of the hearing before the board and after consideration of the information provided, the board shall take action.
- (a) The board may decide to adopt the president's recommendation to revoke tenure or may end the action against the faculty member.
 - (b) If the board votes to revoke tenure, the board may, at its discretion, also vote to grant one year of severance pay.
 - (c) In taking any action, the board shall consider any recommendation from the Faculty Senate grievance committee.
- (4) The board's action, which shall be taken in a public meeting, is final.
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History:

- Adopted: September 14, 2018 (Moved from the old article 5.B, 5.C and policy 5.I); Became effective July 1, 2020.
- Revised: February 8, 2024.
- Last Reviewed: February 8, 2024.



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5. FACULTY

Policy 5.F: Termination of Faculty Appointments Following Program Discontinuance

5.F.1 Academic Unit or Degree Program Discontinuance

- (A) In accordance with regent policy 4.B.4, the Board of Regents may discontinue an academic unit or degree program for educational, strategic, realignment, resource allocation, or financial reasons, or a combination of these reasons.
 - (1) Termination of faculty appointments, including tenured and tenure-track appointments, may occur as the result of formal discontinuance of an academic unit or degree program.
- (B) Upon a decision by the Board of Regents to discontinue an academic unit or degree program, the chancellor shall develop a plan for discontinuance, including the disposition of faculty appointments.
 - (1) Decisions on termination of appointments of individual faculty members due to degree program or academic unit discontinuance will be made by the chancellor in consultation with appropriate faculty members and administrators.
- (C) The termination of a tenured faculty appointment is contingent upon Board of Regents approval of the revocation of tenure.
- (D) One year's formal notice will be provided to tenured and tenure-track faculty members whose appointments are to be terminated.
- (E) One year's formal notice will be given to all instructional, research, and clinical faculty members whose appointments are to be terminated, provided they have at least seven years of continuous half-time (0.5 FTE) service to the university.
- (F) Obligations to Tenured Faculty
 - (1) Unless there is a compelling academic reason to do otherwise, no tenured faculty member will be considered for termination until the appointments of faculty members in the unit without tenure have been considered for termination.
 - (2) Before terminating a tenured or tenure-track appointment due to program discontinuance, reasonable efforts will be made to find another suitable position for the faculty member within the university. Inter-departmental or inter-campus transfers may be made only if mutually acceptable. Retraining for tenured faculty members during the notice year should be provided under

the sponsorship of the campus where the program is discontinued if, in the judgment of the campus and the faculty member, such retraining will prepare the faculty member for another suitable University of Colorado position. Any retraining opportunities shall not interfere with the faculty member's assigned teaching and other professional obligations during the notice year. Faculty members meeting age and service requirements as specified in university policy have the option to retire.

- (3) After exhaustion of efforts to find another suitable position within the university, a tenured appointment may be terminated with applicable severance pay. Faculty members who elect to resign or retire from the university are not eligible to receive severance pay.
 - (a) Upon termination, severance pay equal to the individual's base salary for one academic year will be provided to faculty members with 9-month contracts and one fiscal year to faculty members with 12-month contracts.
- (4) If a program is reinstated within three years at the campus where it was discontinued, tenured faculty members whose appointments were terminated will have a right to reinstatement with tenure, provided positions are available and the position is substantially similar in responsibilities to the one previously held by the faculty member.

(G) Rights of All Faculty

- (1) A faculty member who is terminated for reasons of program discontinuance will be eligible to participate in the university group insurance program for 18 months following the date of termination under the conditions of the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) if the faculty member is enrolled in the university's group insurance program at the time of termination.
- (2) Faculty members will be provided counseling regarding employment opportunities outside of the university if they request it.
- (3) A tenured or tenure-track faculty member whose appointment is terminated for reasons of program discontinuance has the right to file a grievance with the Faculty Senate grievance committee under established policies and procedures. See regent policy 5.G.3(A)(3).

- (H) Detailed procedures on program discontinuance can be found in the corresponding administrative policy statement.

History:

- Adopted: September 14, 2018 (Moved from the old Appendix 4.1); Became effective July 1, 2020.
- Revised: N/A.
- Last Reviewed: September 14, 2018.



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5. FACULTY

Policy 5.G: Faculty Grievance

5.G.1 Grievance Rights

- (A) As provided in article 5, part D, and further articulated in regent policy 5.E, a faculty member on a tenured or tenure-track appointment who is facing dismissal for cause has the right to file a grievance with the Faculty Senate Grievance Committee.
- (B) As provided in article 5, part D, and further articulated in regent policy 5.D, any tenured or tenure-track faculty member who is denied reappointment, tenure, or promotion and believes that there have been serious procedural or factual errors in the case, or the denial occurred through the material violation of the laws of the regents or regent policies, may file a grievance with the Faculty Senate Grievance Committee.
- (C) As provided in article 5, part D, any member of the Faculty Senate may file a grievance for perceived violations of their academic rights (as delineated in regent law or policy) including, but not limited to, those arising during an annual evaluation or post-tenure review process.
- (D) As provided in article 5, part D, any individual afforded the right of academic freedom may file a grievance for perceived violations of academic freedom.

5.G.2 Faculty Senate Authority to Hear Grievances

- (A) The authority granted to the Faculty Senate Grievance Committee by the Board of Regents is the result of a collaborative process between the faculty, administration, and regents to ensure an appropriate role for faculty governance in disciplinary actions taken against faculty members and in addressing violations of a faculty member's academic freedom or academic rights.
- (B) The Faculty Senate Grievance Committee shall be constituted as provided in the Faculty Senate constitution and shall investigate, mediate, and hear grievances submitted by members of the faculty and make recommendations to the administration on specific grievance cases, consistent with regent law and policy.
- (C) The committee shall have the authority to develop its internal administrative rules consistent with regent law and policy. The policies and procedures of the Faculty Senate Grievance Committee shall be provided in the Faculty Senate constitution and bylaws.

5.G.3 The Faculty Senate Grievance Process

(A) Jurisdiction

- (1) The jurisdiction of the Faculty Senate Grievance Committee is expressly limited to the review of those grievances described in section 5.G.1.
- (2) The committee shall not substitute its judgment about an individual's academic merit for that of other authorized committees and administrators. The committee shall only consider whether proper procedures were followed.
- (3) In cases involving faculty personnel decisions resulting from program discontinuance, the committee shall not consider the validity of the program discontinuance decision. The committee shall consider only whether proper procedures were followed in taking these personnel actions.
- (4) In disciplinary matters, the committee shall consider the merits of the matter before it, as well as the process.
- (5) The investigation of certain matters may be reserved to another entity or official within the University of Colorado by law or university policy, such as the investigation of allegations of discrimination and harassment by the relevant campus office that deals with matters of equity and discrimination, the investigation of allegations of research misconduct by the Standing Committee on Research Misconduct, or the investigation of fiscal misconduct by the Internal Audit department. In those cases, the Faculty Senate Grievance Committee shall defer to those offices to complete their investigations and shall be bound by the factual and policy determinations of those investigations absent reliable evidence that those determinations resulted from: (1) material and prejudicial error during the course of the investigation; (2) manifest bias upon the part of the investigating official or entity; or (3) fraud, misrepresentation or misconduct by a party to the proceedings. In making these determinations, the Faculty Senate Grievance Committee shall not consider new evidence challenging the factual and policy determinations except for evidence that could not, in the exercise of reasonable diligence, have been presented in the earlier proceedings. The Faculty Senate Grievance Committee shall not consider a grievance until these processes are completed. The Faculty Senate Grievance Committee is not bound by the recommendation of sanctions made by any investigating official or entity and may propose alternative sanctions to the administration or Board of Regents.
- (6) The recommendations of the Faculty Senate Grievance Committee shall be considered before final action is taken; however, the ultimate authority rests with the administration or Board of Regents. In all cases, a report shall be issued to the grievance committee chair that identifies the final action taken and the rationale for such action.

(B) Time Limits for Filing a Grievance

(1) Dismissal for Cause Grievance Filings

- (a) If the administration is initiating dismissal for cause proceedings to terminate a tenured or tenure-track faculty member, the faculty member shall be given written notification and may request, within 10 business days of receipt of notification, that the president or chancellor refer the matter to the Faculty Senate Grievance Committee. Upon receipt of such a request, the president or chancellor shall refer the matter to the grievance committee within 5 business days. If the individual concerned does not request referral to the grievance committee within 10 business days, the faculty member shall be deemed to have forfeited the right to such proceedings.
- (b) If the faculty member files a grievance, they may respond in writing to the notice of intent to dismiss, contesting the grounds for dismissal. If the faculty member elects to respond, the response shall be provided to the grievance committee chair no later than 20 business days after receipt of the notice of the intent to dismiss.

(2) All other Grievance Filings

- (a) In cases involving promotion, tenure, or non-reappointment, grievance statements must be received by the grievance committee chair within 40 business days following the faculty member's receipt of written notification of final action by the chancellor or other person with final administrative authority over the matter at issue.
- (b) In cases involving suspension and other disciplinary actions, excluding dismissal for cause, grievance statements must be received by the grievance committee chair within 20 business days after the faculty member's receipt of written notification of the action.
- (c) In cases of alleged violations of academic freedom or academic rights, grievance statements must be received by the grievance committee chair within 20 business days after the faculty member is advised of the administrative action or decision, which is the basis of the complaint.
- (d) The time for filing a grievance may be extended by the grievance committee chair for up to an additional 40 business days if the faculty member is not reasonably able to file the grievance within the prescribed period. Verification of the faculty member's inability to file may be required.
- (e) The grievance committee chair shall notify the chancellor, in writing, that a grievance has been filed. This notification shall occur within 10 business days of receiving the grievance request.

(3) In all cases, the faculty member's receipt of notification is determined by:

- (a) the date of delivery if the notice is sent by personal delivery;

- (b) the date acknowledged by signature on a receipt if the notice is sent by certified or registered mail, return receipt requested, or by alternative delivery service, with signature required for delivery;
- (c) 5 business days following the mailing date if the notice is sent by U.S. Postal Service to the last address on record;
- (d) 5 business days following the shipping date if the notice is sent by alternative delivery service to the last address on record.

(C) Grievance Proceedings

- (1) In order to provide for the expeditious review of grievances, grievants and administrators shall cooperate by providing current contact information, by making themselves available during investigations and hearings as requested by the committee, and by providing relevant documents. A failure to cooperate shall be documented and considered in the evaluation of the case.
- (2) The faculty member shall be permitted to have counsel and the opportunity to present and question witnesses according to the rules of procedure established by the grievance committee.
- (3) In dismissal for cause grievance cases, the administration shall bear the burden of proof by clear and convincing evidence. In all other grievance cases, the faculty member shall bear the burden of proof by a preponderance of the evidence.
- (4) In accordance with the confidentiality expected of the grievance process and as permitted by law, all parties in the grievance process and the committee members shall maintain the confidentiality of the grievance proceeding.
- (5) Mediation shall be available during the grievance process as a means of resolving faculty grievances. Mediation shall not unreasonably delay the resolution of a case.
- (6) If the grievance committee chair determines that the Faculty Senate Grievance Committee does not have jurisdiction over the case, the chair shall close the case and notify all parties.
- (7) If an investigative panel of the grievance committee concludes that there are no reasonable grounds for believing that a violation of academic rights, privileges or tenure has occurred, the chair shall close the case and notify all parties.
- (8) If the faculty member and the administration reach a resolution at any point during the grievance process, the grievance committee chair shall close the case.
- (9) A faculty member who files a grievance may withdraw the complaint at any time during the grievance process, at which point the committee chair shall close the case.

5.G.4 Findings and Recommendations

(A) Grievance Cases Involving Dismissal for Cause

- (1) At the conclusion of grievance proceedings, the Faculty Senate Grievance Committee will share its final report with all involved parties and forward its findings and recommendations to the president or chancellor.
 - (a) Findings and recommendations shall be sent to the president or chancellor within 90 business days of referral to the faculty grievance committee chair, unless an extension has been granted by the president or chancellor.
- (2) Decisions shall be made in accordance with regent policy 5.E.

(B) All Other Grievance Cases

- (1) At the conclusion of grievance proceedings, the grievance committee chair will share the committee's findings and final recommendations with all parties.
 - (a) Findings and recommendations shall be sent to the chancellor no more than 120 business days after the grievance statement has been received by the grievance committee chair.
- (2) The chancellor shall provide a response to the committee chair within 10 business days of receiving the findings and recommendations. The chancellor's response shall address each of the grievance committee's recommendations, indicating what action the chancellor intends to take in response to the recommendations and an explanation for such action.
 - (a) If the grievance committee determines that the chancellor's response satisfactorily addresses the committee's recommendations, the chair shall notify all parties and close the case.
 - (b) If the grievance committee is not satisfied with the chancellor's response, the committee chair shall, within 10 business days, report the disagreement and the basis thereof and forward a copy of the record of the case to the president for review.
 - (c) The president's decision is final.
- (3) If the grievance case relates to the denial of tenure by the president (following a positive recommendation by the chancellor), the president shall consider the recommendations of the grievance committee but retains authority for the final decision.
- (4) Upon the final resolution of a case, the president shall provide the Faculty Senate Grievance Committee chair with a written report of the final action taken. The report shall include a detailed rationale for actions inconsistent with the grievance committee's recommendation.

- (C) In all cases, the chancellor, president, or Board of Regents shall take such action deemed to be in the best interests of the university and in accordance with regent laws and policies, and applicable federal and state laws, rules and regulations.
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History:

- Adopted: September 14, 2018 (Moved from the old article 5.C and policy 5.H); Became effective July 1, 2020.
- Revised: June 20, 2024.
- Last Reviewed: June 20, 2024.



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5. FACULTY

Policy 5.H: Intellectual Property that is Educational Material

5.H.1 Introduction

Creating and disseminating knowledge are fundamental missions for the University of Colorado. The broad creative environment of the university fosters the development of intellectual property. In this policy, the University of Colorado reaffirms its commitment to the principles of academic freedom (see Regent Law 5, Part B: Academic Freedom), and reaffirms its commitment to encouraging the development of intellectual property. This policy functions in accordance with other University of Colorado policies and federal and state statutes and regulations.

The focus of this policy is specifically on intellectual property that is educational material. This policy also addresses intellectual property associated with scholarly and creative works and the ownership thereof. A separate policy on intellectual property applies to ownership of discoveries and patents, including certain software, and nothing in this policy shall affect ownership of such intellectual property. See Regent Policy 5.I: Intellectual Property Related to Discoveries and Patents for Their Protection and Commercialization, and APS 1013: Intellectual Property Policy on Discoveries and Patents for Their Protection and Commercialization.

5.H.2 Rights of Ownership to Intellectual Property that is Educational Material

Under United States federal copyright law, the university, as an employer, owns the copyrighted materials made by its employees pursuant to the course and scope of their employment. However, consistent with historic practice, the University of Colorado, through this policy, assigns the copyright it has in educational materials to the author(s) of the works. While the author(s) shall own the rights to all educational materials, the University of Colorado retains certain rights to administrative and instructional use of educational materials as set forth in APS 1014: Intellectual Property That is Educational Materials.

5.H.3 Scope of Policy

This policy is applicable to all units of the university, including its colleges, schools, departments, centers, and institutes, and to all university faculty, staff, and student employees.

This policy does not apply to works of authorship made by university employees in the course and scope of their employment in the furtherance of administrative responsibilities associated with a position, such as university staff, department head,

dean, provost, chancellor, and president, whose works are owned by the University of Colorado as works made for hire.

This policy does not apply to works of authorship made by university employees where the development of the work is required as a part of a sponsored program or a funding agreement administered by the University of Colorado. Ownership of such works are governed by the terms of the associated contract/grant (which generally assign ownership to the University of Colorado or impose on the University of Colorado other obligations that necessitate ownership by the University of Colorado).

5.H.4 Educational Materials

Educational materials are those works of authorship eligible for copyright protection made by university employees pursuant to the course and scope of their employment, and in furtherance of the employees' educational responsibilities. For the purposes of this policy, regardless of instruction mode, learning management system (LMS), or use of digital technologies, educational materials include, but are not limited to:

- (A) The course syllabus, including any lists of textbooks, books, readings, etc.
- (B) Course design and development materials, including templates and course maps.
- (C) The course learning objectives and expected student learning outcomes.
- (D) All significant course assessments, activities, and grading rubrics.
- (E) Written content in the LMS (e.g., narrative content in course pages and announcements).
- (F) All materials provided to the students, including notes, slides, other written materials, and/or links to said materials, including material associated with recorded lectures.
- (G) Recorded lectures, including any written material/slides used in the lectures.
- (H) Other forms of media created for teaching a CU course including, but not limited to, author-created images, diagrams, graphics, audio files (e.g., podcasts), videos, and models.
- (I) Software, whether in source code, executable code, or other machine-readable form, developed specifically for use in course settings.

Educational materials also include materials developed by authors pursuant to the course and scope of their employment for non-credit courses, co-curricular offerings, and alternative credentials, as well as materials developed for professional and other University of Colorado learning offerings except as these are covered by separate agreements.

5.H.5 Scholarly and Creative Works

Distinct from educational materials, scholarly and creative works are those works of authorship made by university employees in the course and scope of their employment, and in furtherance of the employees' scholarly responsibilities such as, but not limited to, monographs, papers, models, musical compositions, works of art, textbooks, and unpublished manuscripts.

Consistent with historic practice, the University of Colorado, through this policy, assigns the copyright it has in scholarly and creative works to the authors of the works, unless otherwise addressed in Regent Policy 5.I: Intellectual Property Related to Discoveries and Patents for their Protection and Commercialization, APS 1013: Intellectual Property Policy on Discoveries and Patents for Their Protection and Commercialization, and any other related policies.

Ownership and use of scholarly and creative works that are developed as a part of sponsored programs are subject to the terms of the associated contract/grant. Similarly, ownership and use of scholarly and creative works that are specifically commissioned by university contract are subject to the terms of the contract.

Copyright of scholarly and creative works typically occurs in professional/academic journals, books, and other professional resources and traditionally requires that the author(s) sign over the copyright to the publisher. Nothing in this policy shall be construed to restrict or constrain these traditions, except as may be required by contracts or grants with third-party sponsors.

History:

- Adopted:
- Source: Regent Action of January 16, 2003.
- Revised: June 20, 2024.
- Last Reviewed: June 20, 2024.
- Non-substantive Changes: July 30, 2025 (Conforming amendments made for renumbering of regent laws and policies: Policy 5.K: Intellectual Property that is Educational Material renumbered to Regent Policy 5.H: Intellectual Property that is Educational Material and references to regent policy 5.J updated to regent policy 5.I).



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5. FACULTY

Policy 5.I: Intellectual Property Related to Discoveries and Patents for Their Protection and Commercialization

5.I.1 Objectives

Creating and disseminating knowledge is a fundamental mission of the University of Colorado. The creative environment of the university is conducive to the development of inventions, software, and other discoveries. This policy of the university has been established to accomplish the following objectives:

- (A) To encourage the faculty and staff employees of the university to make all discoveries available for public use and benefit as efficiently and quickly as possible;
- (B) To protect the university's primary role of teaching and research by regulating the involvement of the university, its faculty, staff employees, students and visitors in the development of discoveries;
- (C) To protect the potential interests of the university, its faculty, staff employees, students and visitors in discoveries; and
- (D) To provide a method of using royalty income from discoveries to advance discoveries and encourage innovation within the university.

5.I.2 Definitions

- (A) The term "discovery" or "discoveries," means any inventive idea and/or its reduction to practice that relates to, but is not limited to: new processes or methods of producing a new and useful industrial result; any composition of matter, including chemical and biological compounds and research materials; any new devices; any new plant; any new design in connection with the production or manufacture of an article; any new computer hardware and/or software programs; any clinical protocol or survey instrument; any new use or improvement of existing systems, processes, or methods of producing a new and useful industrial result, devices, compositions of matter, or software programs; and any know-how and data supporting these inventive ideas.
- (B) The term "substantial use of university resources" means use of university administered funds, sponsored programs, facilities, research equipment, including software, research space or other physical assets that goes above and beyond those customarily and currently provided to included persons in accordance with their university position as an employee, student, or volunteer. A visiting scholar or any other visitor makes substantial use of university resources by using any

university administered funds, sponsored programs, facilities, research equipment, including software, research space, or other physical assets. For purposes of this policy, offices, office equipment, library access, desktop and laptop computers, photocopy equipment, telephone, servers, and fax machines that are customarily provided, are excluded from substantial use of university resources. Use of university resources as permitted under a separately executed facilities use agreement will not be considered substantial use of university resources. (This provision is not intended to override any other university policy concerning reimbursement for facilities or equipment usage.)

- (C) The term "university discoveries" means discoveries made:
- with the substantial use of university resources, and/or
 - in fulfillment of an included person's work responsibilities.

A discovery made by an included person in connection with consulting or other third-party contractual arrangements is a university discovery if it meets the above criteria.

- (D) The term "visiting scholar" means a person who has been granted access to university administered funds, sponsored programs, facilities, research equipment, including software, research space or other physical assets pursuant to an appropriately executed visiting scholar agreement.
- (E) The term "visiting scholar agreement" means a separately executed written agreement between a person or that person's home institution and university permitting substantial use of university resources, which agreement includes intellectual property provisions approved by the appropriate principal technology transfer officer.
- (F) The term "work responsibilities" means any work, including third-party employment such as consulting activity, that is related to an included person's activities or field of expertise at the university as evidenced by their research focus, or as otherwise articulated in a faculty member's professional plan or an employee's position description.

5.1.3 University Ownership

- (A) The university owns all university discoveries. Every included person(s), by accepting employment with the university and/or making substantial use of university resources, assigns to the Regents of the University of Colorado any legal rights that may exist in such university discoveries and any intellectual property rights in such university discoveries.
- (B) The university has separately established through Regent Policy 5.H: Intellectual Property that is Educational Material that the university will not take ownership of educational materials and creative and scholarly works, and the ownership and administration of educational materials and creative and scholarly works will be in accordance with regent policy 5.H. Where an educational material or a creative or scholarly work is also a discovery, the university will establish a process by which it will be determined whether the educational material or creative or scholarly work

will be treated as a discovery under this policy or as an educational material or creative or scholarly work under regent policy 5.H.

- (C) The university will make no ownership claim on discoveries created without substantial use of university resources to develop the discovery and where the discovery is not related to an included person's work responsibilities.
- (D) Should the terms of a university-approved third-party grant or contract, including consulting agreements approved by the principal technology transfer officer, be in conflict with the terms of this policy, the terms of the approved third-party grant or contract control. Only the principal technology transfer officer or their designee has the legal, delegated authority to waive ownership by the university, or to assign ownership, license, or otherwise provide legal rights to university discoveries and intellectual property in a university discovery.

5.1.4 Ownership of Student Discoveries

- (A) The university will not own a discovery created:
 - (1) by a student who is not employed by the university at the time the discovery is made and who has not made substantial use of university resources to develop the discovery, provided that the university will own a discovery where the student:
 - (a) creates the discovery with an included person who assigns to university (in which case the university will jointly own the discovery with the student);
 - (b) assigns ownership rights in the discovery to the university in writing; or
 - (c) must make an assignment of such ownership rights to the university as a condition for participation in a course.
 - (2) by a student who is employed by the university at the time the discovery is made, but the discovery is not related to the student-employee's work responsibilities and is made without substantial use of university resources, provided that the university will own a discovery where the student:
 - (a) creates the discovery with an included person who assigns to university (in which case the university will jointly own the discovery with the student);
 - (b) assigns ownership rights in the discovery to the university in writing; or
 - (c) must make an assignment of such ownership rights to the university as a condition for participation in a course.
- (B) If the student-created discovery is a university discovery and the student assigns ownership rights in the discovery to the university, the student will be bound by this policy the same as an included person, including but not limited to, having rights in the distribution of net receipts.

- (C) A student who holds a research stipend or fellowship through the university and who creates a discovery during the course of the stipend or fellowship will be considered an included person bound by this policy.

5.1.5 Responsibilities of Included Persons

Every included person, by accepting employment with the university or making substantial use of university resources and as a condition of employment or making substantial use of university resources, must comply with this policy.

Each included person shall make a timely, written report to the university of all discoveries made by the included person. The university will review the written report to determine whether the discovery is a university discovery.

In the event the university determines that the discovery is a university discovery, the included person must:

- (A) Execute and deliver any and all documents that may be necessary or desirable to perfect the title in the university to all university discoveries and related intellectual property;
- (B) Execute all documents necessary to complete a patent, license, or other commercial application, and all documents necessary to accomplish a licensing agreement or other agreement for commercial development;
- (C) Cooperate reasonably with the university in activities necessary or desirable for the commercial development of university discoveries in accordance with the applicable policies and procedures established by the university.

It will be the responsibility of all included persons who would like to provide access to university research facilities, equipment, and other research resources to a visitor to ensure that such visitor has executed an agreement with the university prior to the visitor having such access, which agreement must include intellectual property provisions that have been approved by the appropriate principal technology transfer officer.

It will be the responsibility of the university to disseminate the policy to all included persons and to all others making substantial use of university resources. However, the failure of the university to do so does not, in any way, affect the rights and obligations of the university or of included persons under the terms of this policy.

5.1.6 Dispute Resolution

The university shall create a process to address any disputes that may arise related to this policy.

5.1.7 Principal Technology Transfer Officer

The university shall employ and appoint one or more member(s) of its staff to serve as the principal technology transfer officer(s) to perform such duties and responsibilities as it shall prescribe.

5.I.8 Division of Receipts

The university must determine how it will share and distribute net receipts; provided that the university must share no less than 30 percent of the net receipts with the included persons who are the identified inventors or creators of the discovery.

History:

- Adopted:
- Revised: May 19, 1983; June 20, 1985; April 21, 1994; January 16, 2003; March 2, 2006; June 20, 2024.
- Last Reviewed: June 20, 2024.
- Non-substantive Changes: July 30, 2025 (Conforming amendments made for renumbering of regent laws and policies: Policy 5.J: Intellectual Property Related to Discoveries and Patents for Their Protection and Commercialization renumbered to Regent Policy 5.I: Intellectual Property Related to Discoveries and Patents for Their Protection and Commercialization and references to regent policy 5.K updated to regent policy 5.H).