

**Year End Administrative Policy Statement (APS) Action Report for System  
FY 2013-2014**

	<b>Functional Area</b>	<b>Action</b>	<b>Responsible Office</b>	<b>APS Number</b>	<b>APS Title</b>	<b>Reason for Issuance/Revision/Rescission</b>	<b>Action/ Effective Date</b>
1	Academic Affairs	Rescission	Vice President for Academic Affairs	1003	Post Tenure Review	Clarify language and procedures specified in the policy and merge the amended policy into APS 1022-Standards, Processes and Procedures for Comprehensive Review, Tenure plus Post Tenure Review, and Promotion.	7/1/2014
2	Academic Affairs	Rescission	Vice President for Academic Affairs	1004	Guidelines for the Separation of Multi-campus Schools and Colleges	UCCS intends to split its School of Public Affairs program from UCD's program – which means that there will no longer be any multi-campus schools/colleges and there will no longer be a need for this policy.	7/1/2014
3	Academic Affairs	Rescission	Vice President for Academic Affairs	1011	Professional Plan for Faculty	Clarify language and procedures specified in the policy and merge the amended policy into APS 1022-Standards, Processes and Procedures for Comprehensive Review, Tenure plus Post Tenure Review, and Promotion.	7/1/2014
4	Academic Affairs	Revision	Vice President for Academic Affairs	1006	Differentiated Annual Workloads for Faculty	Periodic review – clarification of language, processes and procedures	7/1/2014
5	Academic Affairs	Revision	Vice President for Academic Affairs	1019	Program Review; Implementation of Regent Policy on	Periodic review of policy, with formatting and minor content changes to clarify the policy's procedures	1/1/2014
6	Academic Affairs	Revision	Vice President for Academic Affairs	1022	Standards, Processes and Procedures for Comprehensive Review, Tenure, Post-Tenure Review and Promotion	Periodic review and determination of whether to include the 1003-Post Tenure Review and the 1011-Professional Plan for Faculty into the revised policy.	7/1/2014
7	Academic Affairs	Revision	Vice President for Academic Affairs	1025	Uniform Grading Policy	University of Colorado Boulder Council of Deans requested changes needed to reflect current practices.	7/1/2014
8	Academic Affairs	Revision	Vice President for Academic Affairs	1026	Roles and Responsibilities of Department Chairs	Periodic review of policy, with formatting and minor content changes to clarify the policy's procedures	1/1/2014
9	Administrative/General	Revision	Department of Internal Audit	2003	External Audit Notification and Reporting	This policy was due for the periodic review. The revisions are proposed based on the collaborative work by the \Director of Internal Audit and the University Controller. These revisions include streamlining the policy to focus on the notification and reporting requirements for external audits.	7/1/2014
10	Administrative/General	Revision	Information Security	2008	Electronic Signatures and Transactions	The policy needs to be updated to encourage broader use of electronic signatures and records in support of campus paperless initiatives.	7/1/2014
11	Administrative/General	Revision	Vice President for University Relations	2022	Colorado Open Records Act (CORA)	Clarify University requirements for inspection of public records in accordance with the Colorado Open Records Act and new legislative requirements (HB 14-1193).	7/1/2014
12	Finance	Revision	Vice President and Chief Financial Officer	4018	Alcohol Beverages Purchased for University Events	<p>The changes to this APS continue the policy revisions begun in July 2013 when the CU Foundation staff transitioned to become the University of Colorado's new development staff.</p> <p>The current revision incorporates under the umbrella term development activities those functions previously distinctly identified as "donor cultivation, solicitation, and stewardship" and "fundraising event." In addition, it changes the approval flow for the latter (fundraising events) from the Vice President/Vice Chancellor for Finance or his/her delegate to the Vice President/Vice Chancellor for Advancement or his/her delegate.</p> <p>An additional minor revision is the correction of the previous language that only development/advancement funds (Fund 36) could be used to purchase alcoholic beverages for development events. The language should have allowed the use of either development/advancement funds (Fund 36) or gift funds (Fund 34) that are restricted for entertainment, donor cultivation, or personnel recruitment</p>	1/1/2014

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13	Finance	New	Vice President and Chief Financial Officer	4058	Budget and Net Position Internal Reporting	Improve financial communication with the Regents regarding campus fund balances and year end activity	7/1/2014
14	Finance	New	Vice President and Chief Financial Officer	4060	Crowdfunding	Chancellors became aware of crowdfunding activities and recognized the need for a University Policy Statement.	7/1/2014
15	Human Resources	Rescission	Vice President for Administration and Chief of Staff	5025	Benefits Advisory Board to the President	President Bruce Benson discontinued the University Benefits Advisory Board (UBAB), effective October 31, 2013 (see UBAB Continuance Memorandum). As a result of this action, there was no need for the related APS 5025-Benefits Advisory Board to the President which defined the structure for the University Benefits Advisory Board (UBAB), its roles and responsibilities, and the selection process and terms for its members.	10/31/2013
16	Human Resources	Revision	Vice President, Employee and Information Services	5016	Faculty Retirement Agreements	Attachment A contains the terms of a phased retirement agreement. Section II.D.3 states: "Faculty in Programs must continue to participate in annual evaluations, post-tenure review, and other applicable faculty personnel processes." The issue at hand is the value of having faculty on a phased retirement plan participating in PTR. It is quite a bit of work for them and also for the PTR review committee of their department and it is unclear what value there would be in PTR for faculty who have already signed a phased retirement agreement. These faculty are already required to participate in annual evaluations. If they are doing badly, they are at risk of violating the terms of their phased retirement agreement and could be terminated. What would PTR add? And the PIA and possibly even the Extensive Review that may arise from PTR (if the faculty member is not doing meritorious work) can take several years. By the time the process was over and the faculty member was making efforts to improve, he/ she would be fully retired.	7/1/2014
17	Human Resources	Revision	Human Resources	5024	Tuition Assistance Benefit	To provide for some campus-specific revisions to their provided tuition assistance benefits and exceptions and other clarifying changes.	7/1/2014
18	Human Resources	New	Vice President, Employee and Information Services	5054	Hiring Working Retirees into Staff Positions	Discrepancies between departments and campuses in regard to retirees who return to work prompted the evaluation of procedure and the development of this APS.	1/1/2014

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19	Human Resources	New	Vice President, Employee and Information Services	5055	HIPAA Hybrid Entity Designation	<p>The Health Insurance Portability and Accountability Act of 1996 (HIPAA), as amended by the Health Information Technology for Economic and Clinical Health Act (HITECH Act), is a federal law designed to improve the portability and continuity of health care coverage, standardize health care transactions and implement requirements surrounding health information privacy and security.</p> <p>In general, HIPAA addresses Protected Health Information (PHI) that is maintained or transmitted by a covered entity. Covered entities are:</p> <ul style="list-style-type: none"> <li>• Health plans,</li> <li>• Health care clearinghouses, and</li> <li>• Health care providers that conduct certain types of transactions in electronic form.</li> </ul> <p>A covered entity that is a single legal entity and conducts both covered and non-covered functions may elect to be a hybrid entity. To be a hybrid entity, the covered entity must identify its operations that perform covered functions and designate these functions as health care components. The HIPAA compliance obligations apply only to the designated health care components. A covered entity that does not make this designation is subject to HIPAA in its entirety. The university conducts both covered and non-covered functions and elects to be a hybrid entity. This policy identifies the university as a hybrid entity and documents the university's designated health care components that must comply with HIPAA requirements.</p>	7/1/2014
20	Information Technology	Revision	Vice President, Employee and Information Services	6002	Electronic Communications	Policy out of date and redundant with other policies and campus AUPs. Address other electronic communication methods beyond e-mail, in particular for emergency communications.	7/1/2014
21	Information Technology	Revision	Information Security	6005	IT Security Program	Adding guidance for mobile device security. This was deemed necessary in light of Internal Audit's recommendations as well as the changing risk landscape.	1/1/2014
22	Risk Management and Public Safety	Revision	University Risk Management	7001	Insurance and Indemnification Requirements for Use of Facilities by Non-University Groups	This APS is due for periodic review. The proposed revisions are made to clarify insurance requirements for the use of facilities, including the additions of related definitions. The revisions also clarify that the APS only applies to short-term use of university facilities, where such use lasts for 30 days.	7/1/2014

**The following policies were reviewed but no substantive changes were made. The effective date remains the same but the last reviewed date have been updated.**

1	Academic Affairs	None	Vice President for Academic Affairs	1007	Misconduct in Research, Scholarship, and Creative Activities	Periodic review.	11/1/2013
2	Academic Affairs	None	Vice President for Academic Affairs	1012	Sponsored Research Policies	Periodic review.	11/1/2013
3	Human Resources	None	Vice President for Academic Affairs	5005	Faculty Recruitment and Hiring	Periodic review.	7/1/2014

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APSs	Pages of Policies	SYSTEM APS SCORECARD (As of July 1, 2014) Timeline
210	650	November 2008 (Beginning of the Task Force on Efficiency)
↓	↓	
138	405	March 2009 (President Approves TFE Recommendations)
↓	↓	
106	325	July 2009 (President/TEAM Approves 07/01/09 Policy Rollout)
↓	↓	
101	303	President/TEAM Approvals in FY 2010
↓	↓	
92	278	President/TEAM Approvals in FY 2011
↓	↓	
90	272	President/TEAM Approvals in FY 2012
↓	↓	
88	269	President/TEAM Approvals in FY 2013
↓	↓	
88	262	President/TEAM Approvals in FY 2014