2.11 PRINTED MATERIALS COURSE MATERIALS

2.11.01 Faculty-authored Books and Materials Assigned in Classes - Instructor-Authored Books and Materials Assigned in Classes

There is no prohibition against the assignment of a textbook by its authors for their classes, nor against the collection of related royalties, provided the textbook has been printed and copyrighted by a recognized publishing house at its own expense, has been made available for open sale, and has been approved for such use by the dean of the college concerned. In cases where deans teach and assign the above type materials, approval shall be obtained from the Provost.

At the University of Arizona, Instructors have the academic freedom to select the best course materials for their teaching needs. There is no prohibition against the assignment of instructor-authored textbooks or other course materials for relevant classes. Many instructors invest considerable time and effort into producing the most comprehensive and highest quality materials available in their field, which not only fill important gaps in the textbook and teaching market but also complement their own teaching style and emphases.

Requiring students to purchase instructor-authored textbooks or course materials does present a conflict of interest (COI), however, that needs to be addressed. While instructors are free to use their self-authored materials in courses they teach or oversee, requiring students to purchase these materials must only be done to promote appropriate educational goals. Requiring the use of self-authored instructional materials must not be done for personal gain.

College deans are charged with overseeing the conflicts of interest that arise when instructors create textbooks and other materials and then require their students to purchase them. The following policies and guidelines govern the procedures for instructors, departments, and colleges to address the COI present when instructors require the use of self-authored textbooks or other materials:

1a. The course syllabus should disclose the COI to the students enrolled in the course. For transparency’s sake, instructors should inform students how much they earn from the sale of each required course material or new textbook. Instructors should also explain why they selected their own textbooks or materials for the course (e.g., they are a leading scholar in this area; their scholarship contributes to their knowledge in the area; it is the best source of information for students; it improves their teaching ability).

1b. When the estimated revenue for self-authored textbooks or other instructional materials is above $500 per course, instructors must disclose the COI to the dean of their college. The disclosure to the dean must be made in advance of the UA BookStores’ established deadlines for submitting course material adoptions each term (http://uabookstores.arizona.edu/faculty/). The college must then approve, in writing, the use of the textbook(s) and instructional materials before they are made available to students for purchase. Instructors can estimate revenue earned by consulting the relevant contract with their publisher, which will disclose the percentage earned on each unit sold. This figure can be multiplied by the planned enrollment for the course to generate the potential revenue gained from the sale of materials for the course.

In addition, deans should work with instructors to minimize the COI. Options for minimizing the COI can include one or more of the following:

i. The author may donate royalties or profits that exceed $500 per course to a unit or program on campus that benefits students.

ii. The author may propose to use royalties or profits that exceed $500 per course to pay for activities that benefit the students enrolled in that course (e.g., field trips, guest speakers, social events).
iii. Authors may negotiate with the dean of their college for other ways to minimize the COI that are not listed here. Deans may wish to work with department heads to find acceptable solutions.

Whichever option is chosen to minimize COI when royalties or profits exceed $500 per course, instructors should share their minimization plans with students in the syllabus.

If the estimated profit before the term is higher than the actual profit earned, instructors can adjust the minimization accordingly. Instructors are not required to report the adjustment to the College.

**1c. When the estimated revenue for self-authored textbooks or other instructional materials is $500 or less per course, instructors are not required to disclose the COI to the college nor are they required to donate profits or otherwise minimize the COI.** In addition, instructors are not required to donate revenue if the actual profits earned (as opposed to the estimated profits) fall below the $500 threshold.

These requirements for disclosing and minimizing the COI apply to the sum of all income earned by the instructor from a course they teach or oversee (i.e., from all materials, regardless of type – commercial textbooks, custom-published textbooks, subscription websites, ancillary materials, and all other formats and media) in a single term. Cross-listed courses, and multiple sections taught by the same instructor (including combined sections), are considered a single course.

### 2.11.02 Sale and Distribution of Books and Materials to Students

The most grievous conflicts of interest emerge in, but are not limited to, the following cases:

**2a. Custom textbooks.** Some instructors work with a publisher or vendor to create custom textbooks specifically for sale to their own classes. Such textbooks present a clear conflict of interest insofar as the instructor is financially rewarded for creating a textbook and then requiring students to purchase it. The net costs of custom-published textbooks for students need to be carefully considered. When custom textbooks are assigned, lower-priced used copies and rental versions are often unavailable. Unless the custom textbook is required in the very next semester, students also can’t sell the custom books back to the UA BookStores at the end of the semester.

**2b. Custom-published anthologies of previously published work.** Some instructors create anthologies of readings that could be made available to students at little or no cost online. Colleges should recommend that instructors provide access to the readings using online free or low-cost alternatives whenever anthologies of readings are being custom published by instructors for their own courses. See UHAP Chapter 7 Section 5.XX for information about cost-saving options.

Educational material to be copied, in any way, and sold for use in class or laboratory work at The University of Arizona is available for sale through the Student Union Fast Copy Center, and made available for sale at the UA BookStores. as well as outside vendors, primarily to University students enrolled in the courses in which it is to be used.

Neither appointed personnel nor staff members may have any financial interest in or receive compensation from the sale of such material. Neither appointed personnel nor staff members may sell materials, books, or publications of any kind directly to students. May sell, or invite a vendor to sell, or receive any form of compensation from the sale of materials, books, or instructional content or services of any kind directly to students, including through their own websites. Furthermore, no instructor or academic unit shall accept any kind of financial incentive from a publisher or vendor to adopt a specific textbook or course material. Cooperative purchases of magazines or other literature should be handled by the students involved or by the U of A Bookstore.

### 2.11.03 Publications Issued by Colleges and Departments
All printed publications originating from the campus and placed in general circulation are official representations of the University, regardless of funding. Therefore, departmental and college publishing procedures must be followed. Individuals may not arrange so-called private printing for University-funded publications. All printed materials originating from campus and dealing with University curriculum and academic matters must be approved by the Director of Curriculum and Registration before typesetting is begun. The author’s college must approve all printed materials originating from campus and dealing with University curriculum and academic matters and registration before production of materials begins.

Departments or other UA units that create course materials and require students to purchase them also should disclose and minimize the COI. Specifically, departments or other UA units should (a) inform students that the materials provide revenue for the department or unit, and (b) state how the revenue will benefit students who take courses in the department or unit.

2.11.04 Reproduction of Copyrighted Material

Reproduction of copyrighted material for any use, including classroom use, must conform to federal law. The University advises personnel wishing to reproduce copyrighted material to obtain written permission from the copyright holder. Permission without fee is commonly granted when the proposed use is educational and non-profit. The Main Library and Law Library maintain materials on copyright law. Also, consult "Copyright Basics" available online from the Office of Technology Transfer as follows: Consult Understanding Copyright (link is external), available online at the University Libraries website.